



Library Publishing Curriculum

Creating a dynamic, extensible, multimedia curriculum that empowers librarians to meet local demands to launch and/or enhance scholarly publishing activities





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About the Original Curriculum

The [Educopia Institute](#) and the [Library Publishing Coalition](#) (LPC), in partnership with the [Public Knowledge Project](#) (PKP), [NASIG](#), and [BlueSky to BluePrint](#), are delighted to offer the “Library Publishing Curriculum,” a suite of professional development offerings for librarians that are open and free under a CC-BY license for anyone to offer or adapt. This dynamic, extensible, multimedia curriculum is intended to empower librarians to meet local demands to launch and/or enhance scholarly publishing activities.

Released in 2018, the initial curriculum includes four modules that address major competencies in library publishing: Content, Impact, Policy, and Sustainability, each roughly equivalent to a 12-hour course. Each module contains 4–6 units that address topics of interest and has been authored by field experts.

The Library Publishing Curriculum was created as part of the “*Developing a Curriculum to Advance Library-Based Publishing*” project, generously funded by the [Institute of Museum and Library Services](#). The [original curriculum](#) from which this textbook has been adapted is permanently housed in the repository at Wayne State University Libraries. The project has already had an impact on the quality and quantity of library publishing services offered to scholars and students and is contributing to a healthier, more equitable publishing ecosystem.

About This Textbook Version

In the original, modular curriculum (2018) on which this textbook is based, each unit contained an instructor’s guide, narrative, a slideshow with talking notes, bibliographies, supplemental material, and activities for use in a physical or virtual classroom for workshops and courses. This textbook version, produced in 2021, adapts the original narrative as the primary content (with very little additional editing) and incorporates the bibliographies, appendices, and images from the slideshow into a linear reading and learning experience for use by librarians or students learning on their own or as part of a classroom learning experience. The LPC hopes others use and extend this CC-BY version into even more learning opportunities to help create a more equitable publishing ecosystem.

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Content Module

About this Module

The Content Module contains six units: 1) Editorial Strategies, 2) Nuts and Bolts, 3) Publishing Long-Form Scholarship, 4) Supporting a Journals Program, 5) Developing Materials for Coursework, and 6) Working with Multi-Modal Content. These units cover how library publishers attract, select, edit, manage, and disseminate content. It includes information about how to recruit partners and select content for a program, and how to incorporate diverse voices into each part of the publication process. It also shares information about common production workflows, identifying the resources and staff skills needed to support various editorial strategies and content types.

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Unit 1: Editorial Strategy

Congratulations, you've decided to launch a library publishing program! Before you make a big announcement, you should decide what type of a publishing program you'll offer and what kinds of projects you'll support. Formalizing this in an editorial strategy will set your program's direction and map your priorities. Clearly defining your program tells everyone what they should be working on, and what they should be working on first. It makes decisions on projects simpler, defensible, and ensures you're using resources effectively.

What You Will Learn

- Differentiate between a service-oriented program that responds to campus needs and an editorially driven program that targets specific disciplines or curricular areas.
- Assess current publishing opportunities on their own campus.
- Based on an editorial strategy, draft the vision and mission for a publishing program.
- Define program success by establishing initial objectives based on publishing approach, editorial strategy, vision, mission, and opportunities.
- Use editorial strategy to determine which projects to support.

Selecting Your Strategic Approach

Library publishing programs typically take one of two approaches, opting either to provide a campus publishing *service* or develop a content-driven publishing *portfolio*. Some libraries move to a hybrid model, after first gaining experience with one approach or the other.

Service Oriented

Most library publishing programs launch with a service-oriented strategy. This strategy focuses on campus stakeholders and involves providing services in response to faculty and student needs and the strategic priorities of the institution. Library publishing services typically maintain and support a publishing platform (often an institutional repository software such as bepress' Digital Commons or a dedicated journal publishing software such as Open Journal Systems) and provide a suite of services that help scholars take advantage of the platform. These services include, among others:

- Training on using the platform or in editorial workflows
- Advisory on metadata, indexing, and discovery
- Guidance on copyright and licensing
- Hosting of supplemental content such as image libraries

Content generally comes to the library fully formed and ready for publication. Publishing services often focus on publishing content types such as:

- Faculty- or student-edited journals
- Open Educational Resources (OERs) produced by faculty
- Open Access monographs written by faculty who want barrier-free access to their work
- Proceedings from conferences organized by faculty or departments
- Theses and dissertations

Libraries choosing the service-focused approach may find they need to support an array of content types in a variety of formats to meet campus needs. They will require, at a minimum:

- Robust technology infrastructure to support multiple formats, including journal issues, data sets, and long-form works
- Reliable technical support for bug fixes and breaks as well as upgrades and migrations
- Staff time and expertise for author/editor training and advisory
- Staff time to ingest, format, and maintain content in the platform
- Realistic understanding of their capacity (how easily can their services scale if demand is high?)

Define Your Program: Service-Oriented

- Respond to (and anticipate) campus needs, institutional priorities
- Maintain and support a publishing platform (e.g., bepress' Digital Commons, Open Journal Systems) and provide a suite of services that help scholars take advantage of the platform.
- Publish print-ready content created and developed by authors and editors

Editorially Driven

An editorially driven program focuses on external audiences. These programs analyze trends in scholarly disciplines, curricular areas, and communities of practice to identify publishing opportunities. They seek out content in specially targeted discipline or subject areas and often have a hand in shaping the final product. Editorially driven library publishing programs may find it wise to align their disciplinary interests with areas of faculty expertise, or topics of local or regional relevance. These kinds of programs typically require dedicated staff whose role is to acquire, commission, and recruit projects, as well as to work closely with faculty or other experts to elaborate them. It requires more intervention on the part of the publisher than a service-oriented program.

All the minimum requirements for a service-focused approach apply to the editorially driven model. An added consideration is whether your library is prepared to launch a broad, discipline-focused environmental scan and work with scholars *outside of your home institution* to identify areas with a clear need for the types of services you expect to provide, and then build a program to do just that. The projects may be in emerging fields that are seen as too new or too risky to be supported by university presses and traditional publishers. Editorially focused presses build lists—or portfolios—of titles in a given subject area. Having an editorial focus can help publishers build national or international prestige and reputation.

Define Your Program: Editorially Driven

- Focus on external audiences and communities of practice
- Publish in targeted disciplinary areas, based on demonstrated gaps in current publishing landscape
- Acquire, recruit, and solicit content in these areas of interest
- Collaborate with authors and editors to produce and develop content and get it ready for publication

Identifying Needs and Opportunities

The approach you take should be informed by an opportunity assessment or environmental scanning process that helps you understand where you can best fill a need. An “if we build it, they will come” approach is risky and could result in a significant amount of work to launch a program that withers from lack of interest and uptake. The following considerations can help guide your environmental scan and

refine your strategy:

- Are there populations on your campus that are historically underrepresented in the existing scholarly literature? Are there opportunities to connect with scholars beyond your institution to create publications in response to this omission?
- Are faculty, students, or departments on your campus self-publishing journals that could benefit from a more centralized publisher and economies of scale?
- Does your campus host on-campus conferences or symposia that produce or informally publish proceedings?
- Has the university started a new major or degree program that will require new course materials? Could your press participate in creating free or affordable options?
- Are there opportunities to approach university administration/departments/faculty about creating publication(s) in response to stated needs?
- Are there other formal publishers on your campus (such as a university press)? How might you partner with them?

Libraries can begin to answer these questions by undertaking a campus publishing audit or inventory to locate potential partners who already publish or would like to publish scholarly work. Scanning departmental or faculty websites or CVs, which many repository librarians may already do in search of depositable content, may turn up an array of self-published journals, white papers, and other content. Librarians may also consider conducting a more formal web survey or a “listening tour” with faculty to ask about publishing activities and pain points.

Make sure you also include the broader university in your environmental scan. Look for opportunities related to the university’s strategic plan, such as an expanded focus on specific areas of research, and for opportunities based on the library’s goals, perhaps related to student success.

Crafting Your Mission and Vision

The results of your environmental scanning process will inform the broad approach your program takes as well as your program’s mission and vision. Your library publishing program should formalize its mission in a statement that articulates its purpose and values. See the following examples from a range of library publishing programs at different types of academic institutions:

The publishing mission of the Colby College Libraries is to showcase the scholarly and creative work of Colby’s faculty and students, make the college’s unique collections more broadly available, and contribute to open intellectual discourse.

Florida State University Libraries’ Office of Digital Research & Scholarship provides consultations and information about open access, FSU’s institutional repository, and the Libraries’ open journal publishing platform. The Academic Publishing Team works directly with faculty and students to achieve their academic publishing goals by providing tools for and expertise in disseminating scholarly work, managing copyrights, and maximizing the impact of research.

Through publishing work on the UWE Research Repository we aim to provide immediate world-wide open access to UWE research output that has previously been hidden or invisible outside of the university.

Pacific University Libraries’ publishing services exist to disseminate diverse and significant scholarly and creative work, regardless of a work’s economic potential.

Through flexible open access publishing models and author services, Pacific University Libraries will contribute to the discovery of new ideas (from scholars within and outside the Pacific community) and to the sustainability of the publishing system.

The mission of Purdue Scholarly Publishing Services is “[t]o enhance the impact of Purdue scholarship by delivering high-value open information products aligned with the university’s strengths; to continue to explore new models and new partnerships; to advocate for open access; and to advance the creation, communication, and discovery of new knowledge by hosting, developing, promoting, and publishing the outputs of research and of scholarly debate openly for the global community.

Monash University Publishing is Monash University’s publishing imprint. Monash University Publishing will add a high level of value to the University by:

- i. Publishing scholarly work of the highest quality, ensured by rigorous peer review*
- ii. Maximising the impact of Monash University Publishing titles*
- iii. Representing the breadth and energy of Monash University research interests
(while not excluding contributors from anywhere)*
- iv. Promoting the free exchange of knowledge*
- v. Playing a coordinating role in the production and dissemination of Monash’s
scholarly publications, and*
- vi. Providing a body of publishing expertise within the University.*

You may decide that your mission is to provide support for faculty and student research output not currently met by existing publishers, or to provide alternative outlets for barrier-free publishing by members of the university community. It need not be a lengthy statement as long as it captures your rationale for launching the program.

The mission statements from Colby College, Florida State, and UWE Bristol are examples of service-oriented mission statements. They focus on the needs and strategic goals of their home institution. Each of these programs supports broad availability of and access to the work of faculty and students, with Florida State noting specifically that they provide tools and expertise to help faculty achieve their goals in disseminating their research.

The Pacific University mission statement makes it clear that they are interested in and willing to accept projects that support the *discovery of new ideas (from scholars within and outside the Pacific community)*. Their mission statement shows they provide services to their home institution and also support an editorially driven approach.

The Purdue University and Monash University mission statements also reflect a combination of an internal service focus and a desire to work with external partners on the creation of works that support new knowledge, an important aspect of an editorially focused strategy.

Your mission statement tells the world why your publishing program exists. It’s about today. Your vision statement is about the future. It captures the goals for the program. It’s aspirational, motivating, and speaks to a future that exists if all of your goals are met and you’ve fulfilled your mission. For example, ACRL’s Distance Learning Section has the following vision statement:

The ACRL Distance Learning Section will establish itself as the leading association-based resource for information, expertise, guidance, collaboration, and advocacy for distance learning library services within the Association of College and Research Libraries, the profession, and higher education.

Pundits disagree on the ideal length of mission and vision statements. Various guidelines recommend that they be short enough to fit on a T-shirt. Rather than counting words, you should make sure your statements are clear, concise, and memorable. If your mission and vision statements are so long that you can't remember them, it's time to edit.

Once you've written the mission and vision statements, you're ready to set formal objectives. Objectives should be specific, concrete, and measurable. For example, based on your environmental scan, you could have an objective of migrating an existing student journal from its current website to the library's Open Journal Systems installation and training the editorial board on using the software in time for the next issue. An editorially driven program may go beyond support for and guidance to existing journals and have a goal of acquiring (by either creating or taking over the publication of) three journals each year.

Activity: Crafting Mission and Vision Statements

Break into groups of 2 to 3.

Select a publishing approach (service-oriented or editorially driven) and draft an appropriate mission and vision statement for a publishing program based on one of the following scenarios.

For guidance on crafting effective mission and vision statements, click [here](#).

- **Scenario 1:** Your institution, a large research-intensive university, has just regained the rights to a university press imprint that they sold to a commercial publisher several decades ago. The imprint has a history of publishing well-regarded journals and monographs in the areas gender and sexuality studies, dance, and experimental music.
- **Scenario 2:** You work at a small, elite liberal arts college, where undergraduate students are doing exceptional original research. You also have many talented faculty members who are considered leaders in their fields, but also have a focus on teaching and learning. The faculty senate recently voted to pass an Open Access policy. Your environmental scan found that students and faculty produce and publish a range of content, including senior theses, student-run journals, and faculty-authored textbooks.
- **Scenario 3:** Your library serves a mid-sized land grant institution that has a strong focus on STEM fields and agriculture. As a cultural hub in a rural area of the state, your library frequently partners with regional collaborators such as museums and historical societies to document your area's rich heritage. Your institution does not have a university press, but the state's flagship institution has a longstanding and very successful one.

Example Goal and Objectives

Your mission statement includes "support [for] open dissemination and discovery of university-, faculty-, and student-produced content."

Your environmental scan reveals that the business school has collection of case studies that come out of MBA classes. One or two new case studies are added each semester and they are currently hosted on a faculty member's website in the hope that they will be useful for classes at other universities. Your objective is to create an Open Educational Resource hosted by the library that provides better display and discoverability in time for use by next year's students. Steps to achieve this objective could include:

- Assess the amount and type of content by X date.

- Interview faculty member on possible content uses by X date.
- Migrate content by X date.
- Professionalize look and feel by X date.
- Create case-study metadata and add metatags to improve discoverability by X date.
- Add Google Analytics and train faculty member to check usage quarterly.

Activity: Setting Strategic Objectives

Break into the same groups of 2 to 3.

Create three program objectives that align with the mission and vision statements developed in the previous exercise.

Each objective should adhere to the SMART objectives framework and should include a strategy for measuring progress and success.

Refining Your Editorial Strategy

In addition to a mission or vision statement, presses may have a formal editorial policy that provides specific guidance on the press' disciplinary areas of interest, its submission, peer review, and licensing practices, and other relevant information. This policy may exist as a purely internal document or may live on the press' website for the benefit of prospective authors and other stakeholders. See, for example, the [Editorial Program description](#) from the University of Minnesota Press:

The editorial program of the University of Minnesota Press is recognized internationally for rigorous, groundbreaking work, often informed by social and critical theory and generally defined by interdisciplinary and innovative approaches to scholarship. The Press's books for general readers include nonfiction titles on politics, current events, music, art, architecture, race, sexuality, and history. The Press is also committed to publishing on Minnesota and the Upper Midwest.

Since the 1980s—and the launch of the Theory and History of Literature series—Minnesota has been a leading force in opening new areas of academic inquiry and sponsoring publications in emerging areas of thought and research. The Press is among the most active publishers of scholarly translations from Europe, Latin America, and Asia. Minnesota publishes a broad array of academic disciplines and encourages writing that is politically and culturally engaged and has a strong argumentative voice.

All projects taken under formal consideration undergo a rigorous four-step process of initial editorial screening, peer review, staff evaluation, and faculty committee approval.

The University of Minnesota Press' editorial program statement goes beyond a simple statement of values and aspirations. The statement details some of the press' overarching characteristics (e.g., publishing work informed by “social and critical theory”); the genres and subject areas it publishes (e.g., non-academic works on politics, the theory and history of literature); the qualities it looks for in the work it publishes (e.g., “a strong argumentative voice”); and its general publishing workflow.

Putting Your Strategy into Action

Your editorial strategy serves as a framework for the specifics of your program. It's the tool for determining the projects you pursue. For example, will you approach a faculty member about creating

an open textbook and work with her throughout the process? Will you approach members of a small scholarly society in an area aligned with your institution's strengths about making their print-only journal available open access on your platform? How many staff will you need to support your program and what skills should they have? How will you promote your services and what's the message you want to share with faculty and the university administration? As you move forward, your editorial strategy will guide the answers to these and other questions.

Activity: Aligning Projects with Strategy

Break into the same groups of 2 to 3.

Based on your editorial strategy, vision, and mission, determine if your program would take on the following projects. If you choose to take on the project, what will your roles as "publisher" look like? Justify your responses.

- **Scenario 1:** The history subject librarian suggests creating an open textbook for introductory US history courses and recommends a faculty member who might have an interest in developing it.
- **Scenario 2:** A faculty member, who is a leader in the emerging field of nanotechnology, wants to create a toll-access online journal.
- **Scenario 3:** A faculty member and a group of undergraduate students want to create an interdisciplinary journal to showcase undergraduate scholarship on campus.
- **Scenario 4:** A campus research center approaches you for help building a portal for the white papers, data sets, and interactive data visualizations they create.

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Unit 2: Nuts and Bolts of Scholarly Publishing

Every aspect of publishing has an associated process, complete with tasks and goals for implementation and execution. This unit will explore some of the processes involved in publishing activities. If you are more service focused, some of these may not apply to your publishing program. However, once you complete the unit, you'll have an understanding of them should your editorial strategy change to one that is more involved in partnering with authors or editors to create content.

What You Will Learn

- Identify resources within their institution, associations, and partner networks to support publishing activities.
- Document the staff skills and production workflows needed to support the editorial strategy and content types included in their publishing program.
- Develop proposal and submission guidelines for authors and journal editors.

Kicking Things Off

It takes a lot of work to start and support a library publishing program. The steps involved in publishing can be daunting, but luckily you don't have to do it alone. In addition to the many resources provided by the Library Publishing Coalition, associations such as SPARC, the Council of Editors of Learned Journals, the Association of University Presses, and publishers' websites have information online that can assist you as you build your program.

An editor once said that it takes 1000 things to make the perfect product. Content can be straightforward or complicated. The more moving parts a project has, the more these procedures help to keep the project on track, the author(s) or editor(s) in sync, and the ultimate output as clear and usable as it can be.

There are four basic steps to publication creation:

- Acquire and evaluate proposal
- Receive content
- Revise and produce content
- Disseminate final product

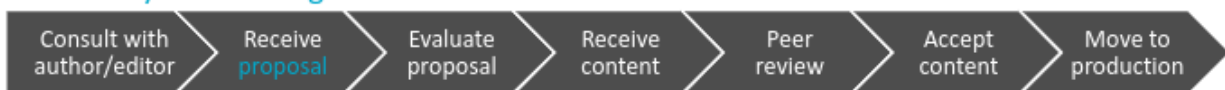
Throughout this unit we will use the word "author" to indicate the content creator or owner. In the case of a journal, this may be the managing editor or editor-in-chief.

Proposal

Every project is likely to start with a proposal. The proposal may be as simple as a conversation with the author that you follow up with an email capturing what you discussed. It should contain all information necessary to make a decision about taking on the project. If your program is service focused, the proposal should give you what you need to determine whether the project fits within the scope of your services. It should provide the information you need to determine the breadth of the project, draft a preliminary workflow, and consider the time-and-effort costs to create and support it. If your program has an editorially driven strategy, in addition to the above, the proposal will allow you to determine if

the research content and scope fit with your editorial goals. (See Unit 1 Content Module for details on service-oriented and editorially driven strategies.)

Editorially Driven Program



Service-Oriented Program

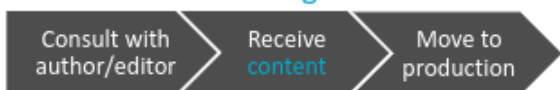


Figure 2.1: Typical Manuscript Acquisition Workflows. An example of typical manuscript acquisition workflows in editorially driven and service-oriented publishing programs.

The proposal should include a physical description of the envisioned final work (website, manuscript pages, illustrations, tables, delivery, journal volumes, etc.), a narrative description of the project (intellectual significance, purpose, impact), the perceived audience for the project, and the author/editor's credentials. The sample "Manuscript Information Sheet" and "Journal Proposal Form" provide examples and can be found in Appendices A and B, respectively.

You may also want to determine the cost associated with a project. A worksheet such as the sample "[Project Info and Cost Worksheet](#)" captures those aspects of a project that impact and incur costs. Remember, those costs include staff time. This worksheet can be used to track dollars or hours spent on a particular task.

Once you've decided you'll take on the project, you should document project details with the author. Putting everything in writing ensures you and the author are on the same page in terms of the project's scope, deliverables, and presentation, and that intellectual property is properly determined and protected with a contract. For more on author contracts, see Policy Unit 2.

Manuscript/Project Proposal

The following collects all of the information necessary for a publisher to determine whether to take on a project:

- Is the project feasible based on your resources (e.g., staff time and skills, funding, infrastructure)?
- Does the project align with your mission and strategic goals?
- Does the project align with your editorial/disciplinary interests?

Submission

Manuscript

Your job, whether your program is service focused or editorially driven, will be much easier if you give the author or editor clear instructions regarding what you expect to receive from them and in what form. There are a number of tools you can create to help with this, the most essential of which are the manuscript preparation guidelines and the art guidelines. These should spell out, in as much detail as

possible, the style and formats in which the author should submit the material. This might be as simple as a complete PDF for a book or journal issue, or as complicated as individual articles or chapters, each with images and tables. Clear instructions allow you to control (as much as possible) the amount of work your staff will have upon final submission.

Reference and/or citations are critical aspects of a scholarly work and are costly and time-consuming aspects of copy editing and publication preparation. Clear and accurate citations are key to a publication's legitimacy, so you want to be sure those ducks are in the right row. The best way to spot check an author's citation style is to follow the research. That means finding a moment in the work where the author has a footnote or in-text citation, then checking the reference using a search engine to confirm that the author has indeed cited the correct title, page number, edition, and/or volume. Then find the full bibliographic reference to see if the format follows your program's selected citation style.

Many of the projects produced by an editorially driven publishing program will be the scholarship of record. It is critical that they be accurate, complete, and easy to use. Other researchers need to follow these scholarly breadcrumbs, so consistency is crucial. Properly prepared author guidelines can help ensure the final submission meets your standards.

See the "Manuscript Preparation Guidelines" in Appendix C for University Press of Florida's detailed guidelines for authors. These can be adapted for your program as needed.

Activity: Drafting Proposal Guidelines

Scenario: Your library, at a small liberal arts college, has decided to launch an open access textbook publishing program that will produce materials optimized for teaching in the liberal arts setting.

- The textbooks will be authored by faculty members at your institution in their areas of expertise.
- You hope that these materials will be useful for students and faculty on your campus and beyond, so you want to target introductory courses in a range of disciplines.
- You will publish the textbooks through your institutional repository and offer a print-on-demand option.

Draft a call for proposals that includes detailed submission guidelines.

Artwork and Images

Art can be a particularly problematic aspect for publishers. Art has both a production standard (Is it large enough? Cropped well? Blurry? Is there a pattern in the background that will show?) and an editorial component (Is the image necessary or decorative? Can the same concept be illustrated textually or is a visual required? Is the image owned by a third party, such as a museum, private owner, or commercial photo library?).

Authors are often unfamiliar with the specifications needed for a figure to be usable in both an online and print edition. A 2"x2" 72-DPI image file will look great on a screen but pixelate badly in a print-on-demand (POD) edition. Color art must be produced as CMYK files to be used for print editions. Refer to the supplemental file "Art Guidelines" for instructions for preparing digital art that meets the requirements for a print edition. Also see instructions in the relevant sections of [Cambridge University Press's Book Production Guide](#).

Rights and Permissions

Authors may include previously published material, quotations, or lyrics in their manuscripts. Ensuring that all requirements related to securing necessary permissions are met is an important part of your job as a publisher. Unit 1 of the Policy module has detailed information on rights and permissions.

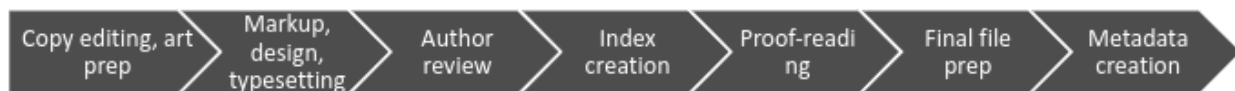
Content Production

Much of the information in this section applies to an editorially driven strategy, in which you are working with the author to develop their work and will take an active role in copy editing, design, and typesetting. However, certain aspects may still apply if your program isn't structured to interact heavily with authors before they submit their final work.

Once the complete work is in, your staff takes over. First, you will want to re-run your budget to see if what the author sent is in line with the contract and still within your budget parameters, including the estimated staff time. Are all the file formats correct? Are any files corrupt or unusable? Has the author ignored your guidelines and created their own ad hoc system for references? Spot check the work for citation accuracy. In the case of long-form works, is the work properly organized with good directional devices included (contents, site map)? Stop for a moment to ask, "If I were a user, could I find what I need in this work?" If not, what will help the end user find the materials? Is the title final? Is the author's name presentation correct?

The production process begins next. For that you will need to develop a workflow that makes sense for the product, your editorial strategy, and your staffing resources. In most cases, to avoid costly and time-consuming revisions, the text and art program should be complete before design begins. In the case of journals, however, the design can be created based on sample articles that capture all of the expected elements.

Long-Form Content



Journals



Figure 2.2: Typical Production Workflows. An example of typical production workflows for long-form content and journals.

Most journals and books follow this basic workflow:

Copy editing and artwork preparation → text finalization and markup → design → typesetting → author review → index creation → final proofreading → final mark-up and file preparation including accessibility (for digital and/or print) → metadata creation for MARC and ONIX → files published online and/or to printer

Refer to the "Lifecycle of a Book" in Appendix D for a graphical representation of what's involved in the book publishing process.

Activity: Mapping Production Workflows

Look at the “Process Tab” of the [University of Toronto Press’ Author Resources page](#).

- Create a visualization of the publishing workflow described.

The University of Toronto Press is an editorially driven, full-service publisher. How would the publication workflow differ in a service-oriented program?

- Create a visualization of the publishing workflow for a service-oriented publishing program.

Consider in both:

- Who are the individuals involved?
- How does the manuscript move between these individuals and the various steps in the publication process?

Copy Editing

Locate and secure a copy editor. Determine the level of editing you want and how much you will pay. Are you asking for spell check and proofreading rather than a full edit? Will the editor be responsible for resolving all queries and removing extraneous coding and embedded imagery or will you do that in-house? Will the copy editor work directly with the author or through your staff? Will someone in-house double-check the copy editor’s work?

Art Preparation

You may need art in multiple file formats for different products. That is, an online version may need 72 DPI files, whereas POD requires 300 DPI files. If the output will be web based, do the images load quickly and easily? Are any files corrupt? Do they pixelate? Do they meet your institution’s accessibility and compatibility standards (see below)? Are they properly keyed to the text for ease and reliability of use?

Do any credits need to follow the images? Are there captions? If maps are included, are there map captions that are different from the map itself? Are art lines and labels and maps legible? See Appendix E for sample art guidelines.

Text Production and Design

Once text and art are final, the work must be produced for XML, HTML, typesetting in InDesign, or all of the above. XML markup happens at this stage to facilitate the design phase. Whether in-house or outsourced, a staff member will need to double check the markup for accuracy. A code sheet provides standard presentation across your unit’s products.

The [Journal Article Tag Suite](#) provides a standard set of elements and corresponding XML tags for use with journal articles. There is an extension for use with [books](#).

The designer will assign a font, font size, and font format to each code. Once this has been completed, the typesetter can insert, or “flow,” the text into the template. Each chapter title, subhead, table, figure, and footnote should fall into its proper place. The designer and typesetter will work together to correct any coding errors. This is tedious and time-consuming work, especially if the author is still writing text or inserting figures. It is extremely costly to flow and reflow text or redesign a book because of late author additions. Once this process is complete you have what are commonly called “page proofs” or simply “proofs.”

One way to save costs is to create template design for books or projects you may repeat. Journals certainly fall into this category and each issue should have a standard template design, look, and presentation. This helps both with the in-house workload and the branding, or recognition factor, of the journal. Symposia or lecture-series volumes are also well suited to template designs.

If you are creating a website or book, you will create or have the author create the index or sitemap for the work. In the final volume of a journal, you will need to create the volume index.

All sections of a proof, as well as the index, should be proofread and all corrections checked by the author, your staff, or both.

Your designer should create a cover. If you plan to make a print version available, a front and back cover and spine are required; if you plan an online version only, a front cover or graphic representing the publication is sufficient. If you plan to offer POD or any book product for sale, an ISBN is required. Click [here](#) for information on purchasing ISBNs. The ISBN must include an ISBN 13 and the EAN code. These numbers need to be included in a bar code that must appear in the bottom right-hand corner of the back cover if you plan to sell print through a commercial retailer such as Amazon. If your bar code is incomplete or placed anywhere else, you will be charged a fee by the bookseller. Journals require ISSNs. Click [here](#) for instructions and an application.

Final files should be supplied to your designated POD vendor according to their technical specifications, which may include number of files, file format, margin widths, and bleeds.

Considerations for Print or Print-on-Demand

- Requires high-quality images/artwork (resolution of 300 DPI).
- Requires front and back cover and spine designs.
- Long-form content requires ISBN registration if it will be **sold**.
 - Bar code containing ISBN 13 and EAN code must appear in the bottom right hand back-cover area if item is to be sold through a commercial retailer such as Amazon, B&N, or your college bookstore. Incomplete or misplaced bar codes will incur fees from bookseller.
- Journals require ISSN registration.

Accessibility of Electronic Information

It's likely that your institution, as part of its commitment to access and inclusion, has documented guidelines and policies regarding compliance with the Americans with Disabilities Act and other legislation regarding accessibility of electronic information by persons with disabilities. These guidelines typically apply to all electronic content made available on your institution's website or to members of the institutional community. Thus, the files for the projects and publications you support must comply.

You should check your institution's website for their specific policies and for information and instructions on how to comply. Some institutions have created instructions for creating accessible files, and there is information available online on how to do so for content produced in Acrobat and Microsoft Office.

Digital Content Accessibility

Institutional policies, as part of its commitment to access and inclusion, regarding compliance with the Americans with Disabilities Act and other legislation

- Require accessibility of electronic information by persons with disabilities.
 - Typically applies to all electronic content made available on your institution's website or to members of the institutional community, including files for the projects and publications you support.
- Check your institution's website for specific policies and information and instructions on how to comply.
- Some institutions have instructions for creating accessible files. Info available online on how to do so for content produced in Acrobat and Microsoft Office.

Dissemination

For any work to exist in the world it needs to be distributed in some way. That may include an open-access repository, a web portal, or an online bookseller. Printed products need to be sent and stored somewhere.

Today a work needs more than distribution; it needs discoverability elements. These may be MARC records, ONIX feeds, identifiers, keywords, metadata optimized for online searching, and more.

The goals for your publication (or publishing program) may determine when in the process you need to create the metadata. If any version will be made available on commercial platforms and/or for sale, you will want to create metadata much earlier in the process, as demanded by book distributors and booksellers.

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SPARC Open Access Journal Publishing Resource Index. <https://sparcopen.org/our-work/alternative-publishing-models/open-access-journal-publishing-resource-index/>

Wiley. Author Resources: Book Authors. <https://authorservices.wiley.com/author-resources/book-authors/index.html>

Appendix A

Sample Manuscript Information Sheet

Please complete this form fully and return it at your earliest convenience. Please try to confine your answers to the fields provided, but you may take additional space as needed.

This form will act as a cover document for your work should we present your project to our editorial board, and the information will also be used for various purposes at the press, including the budgeting and marketing for your book. Thank you for your careful attention.

Date: _____

Working title of manuscript: _____

Author's or editor's name(s): _____

University or business position/title: _____

Business address, phone number, and fax number: _____

Home address, phone number, and fax number: _____

Email address: _____

Facebook, Twitter, and/or other professional social media handle(s): _____

Cell phone number (if this is your preferred contact number): _____

Which address/phone is to be used for correspondence about your book? _____home _____business

Physical description of your manuscript. Please be precise in your accounting, as we will use this information to help us create the book's budget. Your manuscript may not include all of these items.

Total number of words, including notes and bibliography _____ Number of tables _____ photos _____ maps _____ other illustrations (such as diagrams or drawings) _____ What citation style are you using? (i.e., CMS notes/bibliography, MLA style, etc...) _____

Please provide a brief (150-200 word), plain language summary of your manuscript. Identify your purpose in writing this book, noting the special contribution made by your work to the literature in its field. Define the major concerns and problems you address; state your solutions or findings and their implications. Tell us the compelling, unique features that would encourage a reader to purchase your book.

Please list five internet search terms that can be associated with your work. Please avoid the obvious such as major disciplines (Southern history, literature) and go a bit deeper to terms YOU would use to search for this work.

Whom do you see as the main audiences for this book?

What other books attempt to do what your book does?

Please provide a brief biographical sketch that demonstrates your credibility as an author, or append a copy of your C.V. or résumé to this form. Include relevant publications, places and dates of education, honors received, and membership in professional societies.

Do you know of any potential funding sources for your book? For example, does your university allow faculty to apply for book subsidy funds? Are there any publication grants available for authors that publish in your field or on your book's topic?

Have any portions of this manuscript previously appeared in print? If so, please explain fully. In addition, if this work is a dissertation revision, please list the date and title of the dissertation.

Why did you decide to submit your manuscript to University Press of Florida?

On a separate sheet, please suggest names of subject area specialists whose comments would assist us in evaluating your manuscript. Please provide full addresses, as well as telephone numbers and email addresses (if known). Do not include names of dissertation advisors, committee members, departmental or close business colleagues, fellow former students in your graduate program, or anyone else closely associated with you or your manuscript.

Appendix B

Sample Journal Proposal Form

Please complete this form fully and return it at your earliest convenience. Please try to confine your answers to the fields provided, but you may take additional space as needed.

This form will act as a cover document for your work should we present your project to our editorial board, and the information will also be used for various purposes at the press, including the budgeting and marketing for the journal. Thank you for your careful attention.

Date: _____

Journal Title: _____

EDITOR INFORMATION

Editor's name(s): _____

University or business position/title: _____

Business address, phone number, and fax number: _____

Home address, phone number, and fax number: _____

Email address: _____

Cell phone number (if this is your preferred contact number): _____

Which address/phone is to be used for correspondence about the journal? _____home _____business

Please provide a 2–3 sentence biography of yourself and append a copy of your current C. V. or résumé to this form. Include relevant publications, places and dates of education, honors received, and membership in professional societies.

Please provide all the above information for any co-editors of the journal.

Please provide a list of editorial board members and their affiliations.

JOURNAL INFORMATION

Please provide a 3–4 sentence description of the proposed journal, covering its purpose, importance, scope, or other special features.

How would you characterize the journal in one sentence?

Please provide a selection of subject keywords to help identify the work that will be published in the journal.

Will the journal be peer reviewed? Please describe the current system/process envisioned.

How big is the pool of potential contributors?

Do you anticipate having a print component to the journal, or will this be online only?

How will the responsibilities divide between the editors? Who would be the main contact for the press?

What do you expect of the press?

Will you have university (or other) support for the journal? (i.e., monetary support, lighter class schedule, office space, editorial assistants)

How many articles do you imagine publishing per issue?

What is the content being published in each issue? (i.e., article, brief report, case studies, book reviews, review article)

What citation style will you use? (i.e., CMS notes/bibliography, MLA, APA, etc.)

Will a theme be chosen for all or selected issues?

Will you include images in the journal? Black & white or color?

Do you have specific thoughts on the design (interior and cover) of the journal?

When do you anticipate publishing the first issue of the journal?

Please list any journals currently publishing that are competitive in whole or in part with your work, and add a brief comment about how the work differs from this journal.

Whom do you see as the main audience for the journal?

Do you have an official sponsoring organization for the journal?

What are the main conferences or meetings in the field? Which conferences do you currently attend that would be relevant to the journal?

Appendix C

University Press of Florida Manuscript Preparation Guidelines

Welcome to the University Press of Florida! We are happy to have you as part of our team. Our authors are extremely important as we produce works of global significance, regional importance, and lasting value.

These Manuscript Preparation Guidelines help lay the groundwork for us to meet our mutual goal of providing beautiful, high-quality books to readers. Adherence to the following guidelines will help avoid delays in the publication of your book.

All manuscripts submitted to the University Press of Florida should be in final form. Manuscript text must be finalized, with no issues outstanding. All text elements should be consistent in content and format. All quotations and source citations should have been double-checked for accuracy. Keep this in mind: Your submitted manuscript, not the final published work, is provided to reviewers for blurbs. Make sure your manuscript is as well prepared as you can make it.

* All necessary **permissions** (for both text and illustrations, as needed) must be obtained by you from the copyright holder, and a copy of each letter should be provided to the press with your final manuscript submission. Make sure all necessary **credit lines** appear correctly in the manuscript. Please adhere to the instructions in the Text Permissions Guidelines (page 10).

* All **illustrations** that are to be used in your book must be submitted, correctly named, and meet or exceed the requirements set forth in the Art Preparation Guidelines.

* Editors of edited volumes should follow the Expanded Guidelines for Edited Volumes (page 8) in addition to the General Manuscript Preparation. Please keep in mind that these guidelines provide only the basics of manuscript preparation. To write well, an author should frequently consult dictionaries, thesauruses, and style manuals.

General Manuscript Preparation

The University Press of Florida requires manuscripts to be submitted in electronic form, preferably in Microsoft Word. We also can work with files prepared in WordPerfect.

Keep in mind that your manuscript will be designed by our design staff after the manuscript is copyedited. So please **keep formatting simple**. If you spend a lot of time using your word-processing software to format your manuscript and customize the way it looks, we, in turn, must spend time paring your manuscript back to its basic elements—or we may return the manuscript and ask you to remove the formatting.

Spelling and House-Style Preferences

For questions concerning spelling, hyphenation, and punctuation, consult Merriam-Webster's Collegiate Dictionary, 11th ed., and Webster's Third New International Dictionary.

Always use American spelling rather than British (except in quoted material).

For questions concerning editorial style, consult The Chicago Manual of Style, 16th ed. (Chicago: University of Chicago Press, 2010).

Many authors find it helpful to read some of the many excellent style guides that are available. One that we especially recommend is *The Elements of Style*, 3rd ed., by William Strunk Jr. and E. B. White (New York: Macmillan, 1979).

The Basics

Please use the following guidelines to ensure that the electronic manuscript you submit to us will be ready to edit without further ado.

All the elements in your manuscript should be easy to identify. Save each chapter as a separate file. Each additional part of your manuscript (front matter, introduction, references, appendixes, tables, figures, etc.) should also be saved as separate files. Chapters or similar divisions should be named “chap01,” “chap02,” and so forth (or something similar) so that they appear in correct order.

Make sure that there are no comments, annotations, field codes, or hidden text whatsoever in the final version of the manuscript that you submit to the press. In addition, make sure that all “tracked changes” or other revision marks have been accepted as final (that is, there should be no revision marks, hidden or otherwise, in the final manuscript).

Do not use the space bar to achieve tabs or indents or to align text.

Do not use the space bar or the tab key to start a new line.

Do not use the automatic hyphenation feature. There should be no “optional” hyphens in your manuscript.

Use the same typeface, or font, throughout the entire manuscript. If you use a **second font** containing **special characters** not available in standard fonts, please alert your editor and send a test file early in the process. Please see more about this below.

If a chapter has more than one level of **subhead**, differentiate them by typing (using angle brackets) <a>, , or <c> (for a-, b-level subhead, etc.) at the beginning of each subhead, as appropriate. Avoid using a subhead at the very beginning of a chapter, especially if the subhead is “Introduction” (as it is generally understood that opening text is an introduction).

Do not assign “styles” to achieve different formats for subheads, block quotes, paragraph indents, etc. The default, or “normal,” style should be the only style in your manuscript. If your program, however, assigns a special style to notes when you use the endnote feature of your word-processing software, that’s okay.

Produce any **special characters** using your word-processing program’s built-in character set. If you need a character that is not available in your software’s character set, you can use descriptive shorthand enclosed in curly brackets. For example, {*bhook*}*aci* might indicate that the typesetter should render the Hausa word *baci*. Do not “make” a character by combining more than one character or using graphics or field codes—these will not convert for the typesetter. If you use a special font to create characters, please alert your editor and also send a test file early in the process so that we can see whether the font is compatible with our system. When you submit your manuscript, include a list of any special characters and explanations of any shorthand descriptions. (For Middle Eastern studies manuscripts, use {ay} as the code for an ayn and {ha} for hamza. Put each code tight to the characters it precedes or follows. If you do not wish to differentiate between the ayn and the hamza, you may use the code {p} for a prime symbol.)

If you wish to use bullets (as in a list), please use {b} to indicate the bullet.

Do not insert an additional hard return to create extra space between paragraphs. Where you want a space break in the book, type “<space>” on a line by itself.

Format prose **extracts** (block quotations) and verse extracts with your word processor’s feature for indenting paragraphs. (Another option is simply to type <ex> at the beginning of the extract and <txt> at the beginning of the first line of normal text following the extract.) Insert a hard return only at the end of a paragraph or a line of verse. Do not align text using the space bar—adjust the indent level instead. (Brief quotations [8–10 lines or fewer] should be run in with the text. Quotations longer than 8–10 lines should be set off from the main text as extracts.)

Non-English words and phrases in your own prose should be in italic, followed by the translation (if any) in parentheses or square brackets. Non-English proper nouns (names of people, places, organizations, and the like) should never be in italic, unless they appear that way in quoted material. Terms that appear in *Webster’s* should not be italicized.

Non-English quoted passages that are followed by translations should be in roman type, not italic. Short quotations (fewer than five lines) are run into the main text. The non-English quotation should be enclosed in quotation marks, followed immediately by the translation enclosed in square brackets [], followed by the closing punctuation of the mother sentence. Longer passages should appear as extracts with no enclosing quotation marks, followed by a line space, then the translation enclosed in square brackets; each should end with closing punctuation.

Do not “manually” create hanging indents for your bibliography or reference list by using hard returns and tabs in the middle of an entry. Instead, either use the hanging indent feature in your word-processing program or format each entry like a normal paragraph with a first-line indent.

In a list of references, for successive works by the same author use six hyphens (-----) in place of the author’s name after the first appearance. This does not apply to all documentation styles (for example, SAA); be sure to follow your style manual.

Cross references (for example, “see page 76 for further discussion”) should be avoided. Such references do not translate well into e-books.

If you are submitting a CD, please label it and include the name of the software and fonts you used to produce your manuscript (e.g., “Word 2007 for Windows 7; Times New Roman and PMingLiU fonts”; “Word 2003 for Windows XP; Gentium font”).

Tables and Illustrations

If your book includes tables or illustrations, please follow our Art Preparation Guidelines *and adhere to the following points*.

Tables and illustrations should be submitted in files separate from those of the main text. Do not embed figures and tables in the chapter files. Label figure and table files by number not description.

Please be aware of the size of your table. If it will not fit comfortably into a standard size word-processing page, it will not fit on a 6” x 9” printed book page.

Notes to tables should be placed at the end of the table, and note numbering should begin at 1 for each table. Table numbers and titles should appear on the table itself.

For art, the illustration number must be **consistent** across the art file, caption, in-text reference, callout, and list of illustrations. For single-author books with 20 or fewer images, single-digit numbering is preferred (fig. 1, 2, 3, etc.). Double-numbering is preferred for books with more art or for edited

volumes (fig. 1.1, 1.2, etc.), where the first number is the chapter number and the second is the image number.

For each and every illustration, you need to provide a caption and a callout, and you also need to create a list of illustrations for the front matter of your book. The **caption** should include the illustration number and must include any necessary credit line. Group captions together in a single file. Most figures will be printed as black-and-white; ensure that any mention of color in the caption is edited appropriately to accommodate black-and-white reproduction. The **list of illustrations** should appear after your table of contents. For the list of illustrations, long captions should be shortened to one or two lines; credit information is not included.

A **callout** is an instruction to the publisher, which will not appear in the published work, telling the book designer where a table or an illustration is to appear. A callout should be enclosed in curly brackets and placed in the text at the **end of the paragraph** near where the table or illustration is to appear (“{table 5 here}” or “{fig 3.2 here}”).

Please note: a figure reference is not a figure callout. An **in-text reference** is addressed to the reader (for example, “see table 5” or “fig. 3.2”) and will appear in the published version.

Revised Dissertations

By this point, your submitted manuscript should have gone through all of the reenvisioning, restructuring, and revising necessary to transform your argument from a field-specific dissertation to a book that appeals to a substantial number of educated readers outside a narrow field of interest.

If you haven’t done so, please make the following changes:

- Cut any thank-yous to your dissertation committee. You can still acknowledge them but as individual scholars rather than as part of your committee.
- Cut the review of literature. If you feel you must keep some of it, work parts of it into the text or in endnotes at relevant points. As a book author you’re writing for your colleagues who have done their homework and who will do you the courtesy of assuming that you have also.
- Cut the number of quotations, especially long ones. In general, your book needs more of your own voice and less of others’ voices, so paraphrase and summarize wherever possible.
- Cut any repetition. Does the beginning of each chapter and major section announce what you are going to say—and then, at the end, do you announce that you have said it? You can eliminate this.
- Cut one-third to one-half of the notes. While your committee expects you to footnote almost every statement, as an author of a book in an area of your expertise, you can break free from this requirement. If the information can’t be seamlessly incorporated into the text, dump it. Talk with your acquisitions editor about the differences between appropriate attribution and excessive citation.
- Pare down the bibliography. As a student, you wanted to show your committee the depth and breadth of your research. As a book author, to keep from overwhelming your readers, give them just the most pertinent sources. (If you have referred to a source directly, however, you will need to keep it in the bibliography.)

Documentation

The goal of documentation is to give credit where credit is due and to make finding a source as easy as possible for the reader.

Our **preference** is *Chicago Manual of Style's* notes and bibliography system, using shortened notes that do not contain publication information and a full bibliography organized as a single alphabetical list, as it is the most economical and the easiest for a reader to use. With approval, an **edited volume** in which the notes appear at the end of each chapter may include long-form notes and no bibliography.

General Information about Notes

Please note only Chicago Manual of Style's notes and bibliography system allows **notes for documentation**; other styles use notes for only discursive material. Please follow the correct style guide for your manuscript.

We suggest you use the endnote feature of your word-processing software. This will allow you to add and delete notes without having to update superscript numbers manually. Begin *each chapter* with note 1.

Consolidate the notes where feasible. Often you can combine multiple note numbers within one paragraph into one note number at the end of the paragraph to save space and avoid excessive note numbers interrupting the text. Do not, however, combine notes from more than one paragraph into one note. When you combine the sources in the note itself, be sure to list the sources in the correct order so that readers can easily match the quotation in the text with the source listed in the note.

Check to be sure that every note in the notes section has a corresponding note number in text.

Compare the sources in your notes against the bibliography to be sure that inconsistencies do not exist.

General Information about In-text Citations

If your documentation style includes in-text citations, please adhere to these basics.

Make sure that all references cited parenthetically in the text have a corresponding entry in the works cited or references. The parenthetical citation and the matching reference entry should of course be free of inconsistencies (that is, author names, dates, titles in references should match parenthetical citations in text).

If you are citing multiple references in one parenthetical citation, be sure you have established a style for listing the references (that is, alphabetically, chronologically) that is followed throughout your entire manuscript.

General Information about the Bibliography or Reference List

The goal of documentation is to make finding a source as easy as possible for the reader. A bibliography organized as a single alphabetical list is the easiest to use.

There is an exception to alphabetical list rule. *Occasionally* it may be appropriate to subdivide a bibliography: when the bibliography includes manuscripts, archival collections, or other materials that do not fit into a straight alphabetical list easy; when the reader needs to distinguish between different kinds of works (for example, between works by Langston Hughes and those about him); when the bibliography is a guide for further reading.

Abbreviations

If you decide to use abbreviations for frequently cited sources, please also prepare a list of abbreviations for sources. The list of abbreviations will be placed in the front matter or at the beginning of the notes section, if applicable.

Documentation Styles

Our **house style** follows *The Chicago Manual of Style*, 16th ed. (Chicago: University of Chicago Press, 2010). You may follow another documentation style appropriate to your discipline as long as it is used correctly and consistently. Please alert your acquiring editor if you use a style other than CMS.

If your book is intended for a **general trade** audience rather than an academic audience, your acquisitions editor may suggest a documentation style that differs from those listed below. Please consult your editor.

We have provided some information on specific styles, but please do not stop here. Our examples are **not meant to be your sole instruction**; please refer to the stylebook.

Each style provides guidance for correctly styling **websites** and electronic sources. Please consult the appropriate style guide and do not fail to provide proper documentation for such sources.

CHICAGO MANUAL OF STYLE (CMS)

The Chicago Manual of Style manual puts forth two systems of source citation—one that calls for documentary notes following each chapter or at the back of the book and one that calls for in-text parenthetical citations.

CMS Notes and Bibliography style is most often encountered in the humanities. Shortened notes and a full bibliography are the most economical and the easiest for a reader to use.

Note that this style is the only style that uses **notes for citations**.

Ibid. must never be used if the preceding note contains more than one citation.

Generally, journal and newspaper articles are cited fully in the notes and are not listed in the bibliography.

Example, CMS Notes and Bibliography style, note entry:

7. Mullins, Glazed America, 97.

Example, CMS Notes and Bibliography style, bibliography entry:

Mullins, Paul R. Glazed America: A History of the Doughnut.

Gainesville: University Press of Florida, 2008.

CMS Author-Date References style is most often encountered in physical, natural, and social sciences. Sources are cited in the text, usually in parentheses, by the author's last name, the publication date of the work, and page number if needed. (Notes are not used for documenting sources but may be used if discursive in nature only.) You need to make sure that all parenthetical notes in the text have a corresponding entry in the works cited or reference list.

The reference list is organized alphabetically and should not contain sections. The list is usually titled "References" or "Works Cited," and the year of publication immediately follows the author's name.

Example, CMS Author-Date References style, in-text citation:

. . . later became an elaborate systems of constructed waterways (Marquardt and Walker 2012).

Example, CMS Author-Date References style, reference list entry:

Marquardt, William H., and Karen J. Walker. 2012. "Southwest Florida during the Mississippian Period." In Late Prehistoric Florida: Archaeology at the Edge of the

Mississippian World, ed. Keith Ashley and Nancy Marie White, 29–61. Gainesville: University Press of Florida.

SAA STYLE

The Society of American Archaeology recommends a style followed by its journals *American Antiquity* and *Latin American Antiquity*. See a PDF version of the complete guidelines online at <http://www.saa.org/Publications/StyleGuide/saaguide.pdf>.

SAA style cites sources in the text by the author's last name, the publication date of the work, and page number if needed. (Notes are not used for documenting sources.)

Each parenthetical citation should have a corresponding entry in the list of references. Entries in the reference list must be listed in alphabetical order by author, and multiple works under one author must be listed in chronological order by date. Please note that references are structured with a hanging indent, with a tab between the date and the title; the style differs from CMS.

Please note that although most of us now spell archaeology with an "a," the spelling in titles of older sources often varies (**archaeology v. archeology**). This difference in spelling causes many problems at the copyediting stage. To avoid time-consuming checking later, please be sure to show the actual spelling that was used in the source's title, whichever spelling that might be.

MLA STYLE

Modern Language Association style, popular in the humanities, uses in-text citations for documentation; the author's name and the *page number* are in the citation (Burke 3). A citation includes only enough information to enable a reader to find the reference in the works cited. If the author's name is mentioned in the text, only a page number will appear in the citation (3). If more than one work by the author is given in the works cited, a shortened version of the title is included (Burke, *Language* 3).

Notes are not used unless they are discursive. (Websites may be cited in notes because they are awkward to cite in the text.)

Deviating from MLA style slightly, UPF house style is to spell out "University" and "Press" in publishers' names.

CSE STYLE

Council of Science Editors uses in-text citation, which they call the "name-date system." The style of the reference list differs from CMS, especially in the treatment of the authors' names and the lack of italics in the title. Also, the reference list is not set with a hanging indent; rather there is a line space between entries.

Expanded Guidelines for Edited Volumes

Please help us ensure the smooth editing and production of your book by following these guidelines when you prepare the final manuscript of your edited collection.

We ask that the volume editor be the main contact with the press. Please avoid having any of your authors send materials to us themselves; this can cause confusion and delay production. We appreciate your attention to these details.

Most likely, the various chapters of your edited collection manuscript were prepared by authors using different software, note styles, typefaces, and so forth. As the volume editor it is your responsibility to combine the various chapters into a uniform whole and to prepare a final manuscript, following our

General Manuscript Preparation, using a single software program, a consistent style for notes and references, a uniform typeface, and so forth. To expedite this portion of your work, you may wish to provide a style sheet to your contributors in advance, so they can submit their chapters to you in as close to final form as possible.

Contributors should confirm prior to submission of the final manuscript that their chapter is the correct version to be edited. Volume editors may collect index entries from each contributor to use in preparing the index.

Permissions for Edited Volumes

Make sure the contributing authors have obtained signed permission releases, paid permission fees (if any), and **provided accurate credit lines** for every quotation and illustration not considered fair use.

If an essay has been previously published, be sure to obtain a permission release from the copyright holder (usually the original publisher, sometimes the author).

Please mark all permission letters to show what material they regard, send a copy of each letter to the press with your final manuscript submission, and keep copies for your own records.

Make sure all necessary credit lines appear correctly in the manuscript. Please adhere to the instructions in the Text Permissions Guidelines (page 10).

Front Matter of an Edited Volume

Double-check that chapter titles and authors' names on the contents page match those at the chapter openings and in the list of contributors and that the names are presented in the way the contributors want.

Prepare an acknowledgments section if one is needed. (Insert the acknowledgments after the contents, before the first chapter. If you received a subvention to prepare the book, be sure to include an acknowledgment to the granting organization or individual.)

A dedication page in the front matter is not appropriate for an edited volume.

Text Body of an Edited Volume

All elements of your book should be **consistent** throughout in content and format.

Please refer to General Manuscript Preparation (page 1) for more detailed information about formatting.

Prior to submitting your final manuscript to the press, review and edit each essay, query authors about missing or incorrect information, and incorporate authors' responses.

Double-check that all quotations and source citations are accurate. (Remember to double-check the punctuation, capitalization, and spelling.)

If you have rekeyed, scanned, or converted any of the chapters submitted by authors, proofread the material to be sure that errors were not introduced and that text was not dropped.

If a chapter was originally a delivered paper or other entity, please delete/change leftover references to its earlier incarnation.

All the elements in your manuscript should be easy to identify. Save each chapter as a separate file. Each additional part of your manuscript (front matter, introduction, references, appendixes, figures, etc.)

should also be saved as separate files. Chapters or similar divisions should be named “chap01,” “chap02,” and so forth (or something similar) so that they appear in correct order.

Make sure that there are no comments, annotations, field codes, or hidden text whatsoever in the final version of the manuscript that you submit to the press. In addition, make sure that all “tracked changes” or other revision marks have been accepted as final (i.e., there should be no revision marks, hidden or otherwise, in the final manuscript).

Include acknowledgments at the end of each chapter, if appropriate.

List of Contributors for an Edited Volume

Create a list of contributors *to be published in the back matter* of the book that includes names, departments/affiliations, cities/states, and countries but not full street addresses, e-mail addresses, or phone numbers. Be sure to list this item in your table of contents.

Documentation Tips for an Edited Volume

We cannot accept multiple reference styles and/or note styles in one manuscript. If the authors have used different styles for notes—for example, some use parenthetical notes in text with a reference list and others use superscript note numbers in text with chapter endnotes and a bibliography—you must decide which note and reference style you prefer and modify all the chapters to that style.

If notes are used, place notes following individual chapters rather than grouping them at the end of the book.

Double-check that each chapter begins with note 1 and that each superscript note number in the text has a corresponding note in the notes section.

If authors have used parenthetical notes (whether CMS author-date, MLA, APA, or SAA) in the text, double-check that all the parenthetical notes have corresponding entries in the references.

LIST OF ABBREVIATIONS

If abbreviations are used for frequently cited sources, check that abbreviations are consistent throughout the manuscript and create a list of abbreviations for the front matter.

BIBLIOGRAPHY (OR REFERENCES OR WORKS CITED)

Ensure that in-text citations have corresponding entries in the references. Each chapter should either have its own reference list or all references should be merged at the back of the book. (*Exception:* With approval, an edited volume may have **long-form notes** at the end of each chapter and no bibliography.)

Please ensure that the bibliography includes all the sources mentioned by name in the manuscript; authors have provided complete and accurate publication information; entries are in alphabetical order; and multiple works by the same author are listed according to your style manual.

TABLES AND ILLUSTRATIONS

All elements should be double numbered by chapter—“Figure 1.1,” “Box 1.1,” “Table 1.1,” etc.—and chapters should include curly bracketed callouts to indicate their placement in the text. Callouts should appear on a separate line in the manuscript between paragraphs (e.g., “{Insert fig. 1.1 here}”).

Please make sure figures are submitted as separate files; art should not be embedded in the text. All art file names should match the figure numbering used in the text.

All art must be print-ready (free of typos and of sufficient line weight and resolution). See our Art Submission Guidelines for more information.

Text Permissions Guidelines

This section covers our guidelines for securing permissions to reproduce previously published texts and tables in your work. For information about securing permissions to reproduce illustrations (photos, graphs, charts, or line drawings), please refer to our Art Submission Guidelines.

Unless otherwise noted in the Publishing Agreement, it is the **author's responsibility** to obtain permissions for copyrighted material taken from outside sources, to pay any permissions fees if required, and to provide any free copies of the book the rights holder requires.

Before securing any permissions, we strongly suggest that you have a **detailed discussion** with your acquisitions editor, so he or she can instruct you on what may require permission to use in your work and what does not. You may save yourself valuable time and money by doing this: if you request permission when one is not necessary, you cannot rescind the request, and the rights holder can charge you for the permission.

If you are submitting an initial draft of the manuscript for peer review, it is not necessary to have permissions in order, though it is a good idea to start your search for the rights holders, especially for materials of an obscure provenance.

Because you guarantee in your contract that you have not used copyrighted materials without permission, a manuscript received in final form for publication is assumed to be cleared for use of all material from other sources. This includes **written permission** from the rights holder and an agreement between you and the rights holder that you will pay any permission fees. Copies of any such permissions correspondence should be sent to your acquisitions editor at the time you send the final draft for copyediting; your editor must evaluate the correspondence in order to ascertain any potential rights restrictions that might have a bearing on the publication of your book.

Under no conditions will we allow a book to move into production before all permissions have been cleared, so we encourage you to **seek permissions as soon as possible** once your manuscript has been approved for publication.

When Permission Is Not Required

The concept of fair use permits inclusion of short quotations in scholarly books for accurate citation of an authority or for criticism, review, or evaluation; obtaining permission for such use is not necessary. Authors should therefore save themselves and publishers needless correspondence by first trying to determine whether their use of copyrighted material comes under the category of fair use.

A rough rule of thumb is that permission is not required if the total number of words used from any single copyrighted source is fewer than 400. However, there are exceptions to this—for example, when the whole work from which the quotations are taken is itself quite short. Fair use requires that in addition to using only a small portion of the original work, you must not use that work to sell your own, or hinder the copyright holder's ability to profit from sales of the original work. If in doubt, consult your acquisitions editor before writing to the copyright owner.

Permission need not be obtained for material that is not a direct quotation but is paraphrased or summarized from another source, including any published data you use to create a table. The material should be clearly separated from your own statements and credited to the original source, or you should include a credit note on the table if you have used someone else's data.

If material of any length is from a work whose publication falls within the public domain, you do not need permission to reprint. A work is in the public domain (1) if it was published before 1935 or (2) if 75 years have passed since the death of the author of the original work. If you are unsure about whether a work has passed into the public domain, you may consult the records of the U.S. Copyright Office to ascertain status. Materials from the Library of Congress or any other federal agency are considered to be owned by the public and thus also fall under the category of public domain.

When Permission Is Required

REPRODUCTION OF AN ENTIRE DOCUMENT

When you reproduce a complete unit—whether a poem, song, letter, short story, article, or complete chapter—you will need to secure permission from the copyright holder if the work is not in the public domain.

Translations published after January 1, 1923, are subject to copyright and follow the same rules as prose.

A release is required for interviews in which the interviewee is identified by name.

REPRODUCTION OF PORTIONS OF WORKS

Material that is quoted for its own sake and exists as a separate element in your book, no matter the length (as in an epigraph or an anthology of readings), requires permission. The publisher of the material quoted in this way especially is justified in requiring a fee. For this reason, when writing to the publisher for permission, you should give the exact location of the material requested, the nature of its use, and a rough estimate of the number of words.

In the case of poetry and music lyrics, permission is required to reprint more than one line of a short poem still under copyright and any words or music of a popular song.

REPRODUCING FROM YOUR OWN WORK

Quoting from your own work previously published in copyrighted magazines or journals requires permission. However, for works published after January 1, 1978, you need permission only if you have signed a written agreement with the publisher. If your publication agreement does not clearly state that your material can be reused without permission so long as proper credit is given, you may request a transfer of copyright or a grant of publication rights from the publisher of your work. If any of the chapters have been published elsewhere, or if a contract with another publisher supersedes the contract you have with us, you (or the contributors, in an edited volume) will need to secure permission from the originating publisher.

After acceptance of your manuscript for publication, you may wish to make arrangements for publication of a chapter (or some other section of your UPF book that is longer than the fair use limit) in another book or a scholarly journal. We have no objection to this, within reasonable limits, provided that you clear the plan with us beforehand in writing.

How to Find and Contact Rights Holders

Copyright of published material is usually controlled by the publisher, while common law copyright of unpublished material is controlled by the author or the author's heirs. In most cases, the copyright holder for previously published text materials can be found on the copyright page of the book. If you are having trouble ascertaining the copyright holder, please talk to your acquisitions editor.

Once you have discovered the rights holder for a particular work, you will need to contact them in writing to request permission. We have provided a sample permission letter that you may copy and use, though many publishers, especially the large publishing houses, have specific permissions forms (generally posted at their respective websites).

In requesting permission, you should include the following information:

- Tentative title of the book
- Prospective publisher
- Approximate date of publication
- Specification of exact pages being quoted from the original work
- Approximate number of words or lines
- First and last words of each passage in the publication from which you wish to quote
- A photocopy or typed excerpt

You may use the following sample letter to request permission from rights holders:

Re: [author, title of work requesting permission for]

To Whom It May Concern:

I request your permission to reprint the following material, with nonexclusive world distribution rights including all formats and promotional material: [description of passage to reprint (including page numbers) and where and when rights holder printed it].

I would like to reprint this material in a forthcoming edition of a book presently titled [title of book] by [author name]. The book will be published by the University Press of Florida. It is tentatively scheduled to be published in [publication year and season], with an initial print run of [print run amount] cloth copies. The list price will depend upon incurred production costs.

If you would be willing to waive the permission fee for my use of this material due to the nonprofit status of the University Press of Florida, I would be most grateful. Any payment requested will be made upon publication.

Thank you for your help. I look forward to your response.

Sincerely,

[signature]

Conditions of permission:

Credit line:

Signature of rights holder:

Printed name of rights holder:

Date:

How to Acknowledge Text Permissions

Some rights holders will specify the wording for acknowledging the permission or a particular placement for the permission. For instance, you might have to include the permission credit on the copyright page as part of the terms of the permissions agreement. Please abide fully by the original publisher's wishes and make sure that your editor knows if there are any special or unusual credit line requirements.

If the rights holder does not provide specific instructions on how to acknowledge the permission, please include original publication information somewhere in the acknowledgments section of your front matter along with a generic thank-you to the rights holder.

Tables

Tables are considered text files. Table files should be submitted with your manuscript files.

Use your word-processing program or Excel to create tables.

Each table's footnotes (if any) are separate from all others. Never include table footnotes in the numbering sequence of the text endnotes. Use letters rather than numbers for the notes, and begin with note "a" in each table. In tables, you may attach a note to the table title.

Put the source of the table before the notes. Begin flush left with the word Source, followed by a colon, word space, then the citation.

Tables should always be numbered. In books with many tables and in multiauthor volumes, double-number them to include the chapter number (tables in chapter 1 should be numbered as Table 1.1, Table 1.2, Table 1.3, etc.; tables in chapter 2 should be numbered as Table 2.1, Table 2.2, etc.).

Save each table as a separate file, named by its number (table 1.1, etc.).

As with illustrations, make sure you include a call out in brackets for each table {table 1.1 near here}.

Prepare a list of tables for the manuscript's front matter.

Appendix D



Appendix E

Art Submission Requirements

Images reproduced in a book can never be better than the original. It is essential that the material provided be of the best possible quality. Images that do not meet these requirements will need to be replaced by you or eliminated.

Digital Art Submissions

DO check the resolution of your art files.

DO name art files according to our naming conventions:

- Name images using “Fig” for black and white images and “Plate” for color images that will appear in color.
- Use “Map” for maps.
- If artwork will be interspersed throughout, use chapter placement identification (Fig 2.3, Fig 4.5).
- If all artwork will be ganged (grouped together) into one or two sections, number the images sequentially (Fig 1–Fig 50).

Mistakes to Avoid

DO NOT assume a file that looks good on a computer screen is acceptable for print reproduction.

DO NOT submit digital images in a PowerPoint file or embedded in a Word document.

DO NOT enlarge substandard files that already have not passed the art evaluation.

DO NOT collage images into one file; there should be only one image per file.

Resolution Requirements for Digital Art

Grayscale and color images such as photographs must be at least 300 dpi.

When submitting a color image that will be printed black and white, please leave it in COLOR. We will convert it here.

Line art—anything that needs to be legible as text such as line drawings, charts, and graphs—must be at least **1200 dpi at 6" × 9"** or approximately 7200 × 10,800 pixels. The preferred format for line art is a drawing created in Adobe Illustrator.

Images Found on the Internet

Many times the image may look good on your monitor, but may be too small. Please check that the image is approximately the sizes above.

Charts and Graphs

For drawing in Adobe Illustrator, use a line thickness of 1 point or greater, and 10 to 12 point Helvetica or Times Roman font for lettering. Tint variations that are not easily distinguishable from each other

may be confusing, use 20%, 50%, and 80% tint values. Patterns may be used if areas of a figure need to be distinguished with more variation.

Unit 3: Long-Form Content

Library publishers provide an important option for scholars looking to allow free and open access to their long-form scholarship while benefiting from professional presentation, discovery, and an affiliation with their home institution. Library publishers also offer the advantage of publishing faculty scholarship regardless of discipline and can make less well-developed or even fringe scholarship, perhaps seen as too new or risky by university presses, available and thus support discussion and debate.

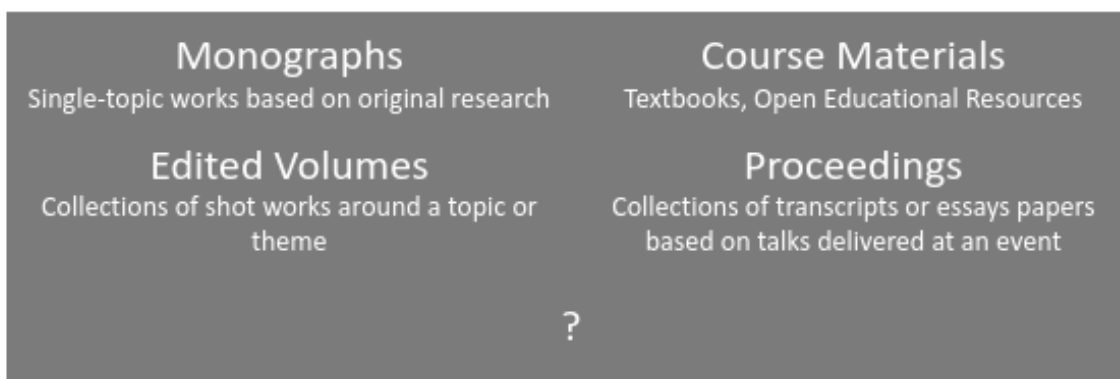


Figure 3.1: Types of Long-Form Content. A diagram of the types of long-form content with examples of what fits into which category.

That scholarship can take several forms, including a traditional monograph (original scholarship on a single topic and usually considered to be a book intended for scholars), course materials including textbooks and OER, collections of essays by scholars collected into a topic-based volume by an editor, documentation of and output from university-sponsored symposia and colloquia, and proceedings from university-sponsored conferences. They are usually devoted to a specific, often specialized, topic and, with the exception of a conference series, are one-off publications.

What You Will Learn

- Identify the structure and characteristics of long-form scholarly publications.
- Identify the thesis of a work; document strategies for developing and supporting a book's argument; and document strategies for guiding authors and editors as they develop their manuscripts.
- Determine the appropriate level of editorial review required to serve a publication's scholarly purpose.
- Align levels of active content development with editorial strategy and program goals; set and meet author expectations.
- Implement a range of discovery and dissemination activities tailored to long-form content.

Long-Form Characteristics

As noted above, there are several types of long-form scholarship. Different types have different characteristics, but all have frontmatter. Frontmatter includes the half title page and publisher's name, the copyright/CC statement, CIP data, the full title page, and the table of contents. Most begin with an introduction describing the topic, the scope of the research and why it's important, and explaining what

this publication contributes to the discipline. In the case of conference, colloquia, and symposium proceedings, the introduction includes a description of the event, including program committee members, dates, and location of the event (usually included in the frontmatter). The frontmatter for monographs and edited volumes may also include a preface, acknowledgements, epigraph, and foreword, as well as a list of illustrations and tables. The frontmatter section maps the scope and structure of the book so the reader/user knows what to expect. Everything in the book should be reflected in the frontmatter in some way. Think of this section as visually outlining the work's presentation.

The manuscript should be a logical progression of chapters, clearly taking the reader through the topic and making a coherent argument supported by research and study. In the case of an edited volume, it's important that the volume editors ensure that the individual contributions are consistent in approach, address the main theme of the work, and if possible, reference other chapters that relate to their work. Particular challenges can arise when chapters are written by non-native English speakers; editors should be especially alert for work needed to ensure both consistency and clarity. If possible, the volume editor should share the full work with every contributor, encouraging the chapter authors to reference data and elements in other chapters. This allows the reader to see more clearly the connective tissue of the volume. While this adds time to the overall creation, it makes for a stronger, more cohesive volume.

Every monograph and most edited volumes should include a conclusion. More than a summary of the work presented, it should provide further lines of inquiry, possible research questions that remain, or even reflections on how the research changed the author's own thinking. Don't allow the author to begin this with "in conclusion..."!

The backmatter contains the book's supporting materials. It can include endnotes, bibliography or works cited, the appendices, an index, and may include author/editor biographies and the series lists. This is a crucial part of a monograph and edited volume and the part that requires the most editing and coordination. The backmatter maps out the author/editor's research and presents it in a way that allows others to follow the line of inquiry easily and clearly. This is what is often called "the scholarship of record" and is the core of a good scholarly volume. With the possible exception of author biographies, conference, colloquia, and symposium proceedings do not include backmatter.

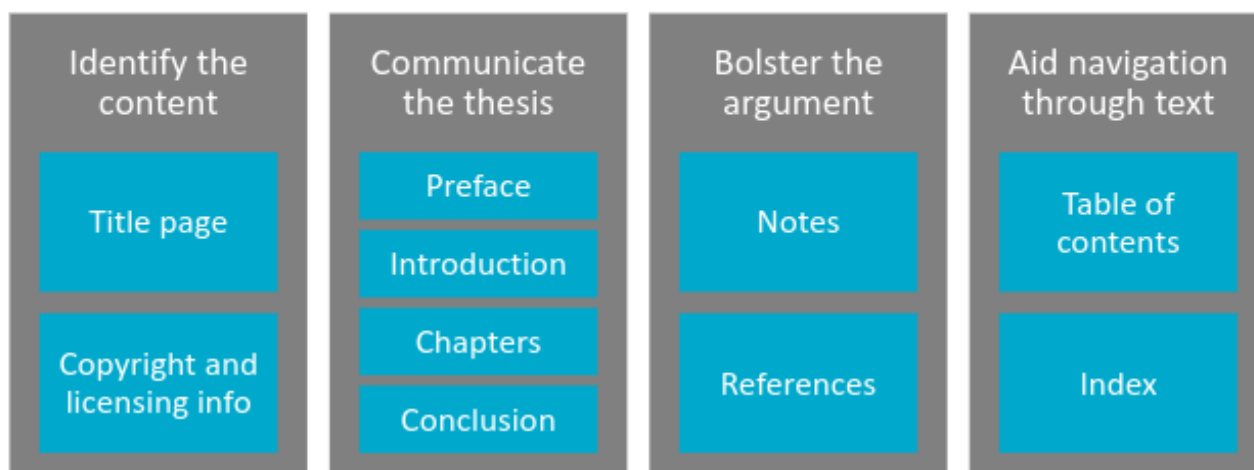


Figure 3.2: Characteristics of Long-Form Content. A diagram that shows some expected set of elements within long-form content.

How Much Applies to You?

As discussed in Unit 1 of the Content module, your program might take one of two approaches. If your program is service focused, your role may be to provide light guidance and support to the author who wants to make her existing manuscript openly available online. In this case, analysis of the manuscript for and creation of all of the elements described above could be out of scope for your program. Instead, you may want to ensure that the book contains an introduction and that the table of contents is correct before creating necessary metadata and loading it into your repository.

Activity: Thinking Like an Editor

Select the introduction of one of the following scholarly monographs:

- [Footprints in Paradise: Ecotourism, Local Knowledge, and Nature Therapies in Okinawa](#)
- [The Most Dreadful Visitation: Male Madness in Victorian Fiction](#)
- [Almost Hollywood, Nearly New Orleans: The Lure of the Local Film Economy](#)

Answer the following:

- Underline the author's thesis. Can you easily identify and understand the thesis?
- According to the author, what makes this research significant? What does it contribute to a discipline or community of practice?
- Can you guess the book's target audience based on reading the introduction?
- How is the introduction organized? Does the introduction indicate how the author organizes the rest of the text?
- What else did you learn from the introduction?
- Would you add anything to or change anything about the introduction? How would you convey your recommendations to the author?

Draft a brief email to the author, praising at least **three positive aspects** and recommending at least **three substantive revisions** to the introduction.

Peer Review

Peer review of long-form scholarship differs somewhat from that of journal articles. In addition to being alert for errors in fact, reviewers evaluate the author's effectiveness in presenting and supporting their argument. They evaluate whether the author has related their work to existing scholarship and is contributing something new to the discipline. They may receive a small honorarium of \$50 to \$150 in exchange for their investment of time and effort.

Methods of peer review include single-blind (most common for long-form content), double-blind, open, and post-publication. Consider these comments from actual peer reviews of scholarly books:

"While I agree with the argument the author is making, I found the introduction unconvincing in how she stages it....Finally, the conclusion needs more work: in its current form, as a brief reiteration of the introduction, it's rather boring and a bit of a let down, given the force of her argument."

"The main issue I have with this manuscript is that it is narrated and asserted more than it is argued. Transitions between sentences, paragraphs, sections, and chapters rely on a language of furtherance – of description and narration – rather than incisive argument. If the arguments are about connecting or making parallels, why does it matter, why are

the connections significant? Further, there is an excessive reliance on editorializing to make points rather than analysis and argument.”

“Bluntly stated: this manuscript does not make an argument and does not situate itself in a conversation with existing scholarship.”

Or these on edited volumes:

“The book gets off to a confusing start, with the Prologue and Introduction setting out different objectives. Many of the empirical chapters stand as islands of analysis unto themselves, and they all need to be integrated much more tightly than is presently the case. The central themes need to pop out more clearly and insistently at the start and be echoed in the text that follows.”

“While the individual chapters will be interesting, with some additional synthesis it could be more than a reference book. This could be accomplished if the editor would consider providing additional structure by clustering relevant chapters together....and adding some sort of introductory material for each section that helps to explain how this literature has evolved, within each area – as well as how interesting research questions within each area should continue to evolve in the future.”

Reviewers should be chosen based on their own research and publication history. Is their research related to the manuscript’s content? Have they published in the area? Have they kept up with recent developments in the field, and are they knowledgeable enough to evaluate the breadth, scope, and accuracy of the work? In the case of a textbook or course materials, do they teach courses in which the content could be used?

Not all instances of long-form scholarship require this form of peer review. For example, peer review for conference proceedings typically consists of the program committee reviewing session suggestions, choosing those that fit the theme of the conference, and inviting those scholars to present at the meeting.

Constructive peer reviews start with clear instructions for reviewers. Ensure that your reviewer guidelines reflect your expectations for authors and for your program. Do you want to publish new research or are you OK with books that review existing literature? If the latter, how comprehensive do you expect that review to be? Your answers to these and other questions dictate what to include in reviewer guidelines and what you should expect to communicate to the author. Refer to “Request for Review” and “Instructions for Reviewers” in Appendices A and B, respectively, for examples of a reviewer invitation and instructions.

Peer Review for Long-Form Content

Peer review adds legitimacy and validation to work. Reviewers consider:

- Is the work accurate?
- Is the thesis clear and supported?
- Is work situated within existing scholarship?
- Does it contribute something new to the discipline?
- Is the work well-written?
- Is the work appropriate for the target audience?
- Are edited-volume chapters tied together and the central theme clear?

How Much Applies to You?

Your editorial strategy and the types of projects you accept will inform the need for and type of peer review. If you are working with authors to develop new content such as an open textbook targeting a core course or a monograph in a developing area (an editorially driven strategy), having the work peer reviewed can give it the gravitas to be read and used broadly.

Activity: Peer Review Long-Form Scholarship

Scenario: A sociology faculty member approaches you about publishing an OA monograph based on recent ethnographic research. Her work deals with a hot-button issue that has received recent popular media attention, so she wants to publish relatively quickly to take advantage of the moment while also maintaining scholarly credibility for her work. Consider the following questions:

- What are the advantages and disadvantages of conducting peer review for this work?
- Which kinds of peer review might be appropriate: single-blind, double-blind, open, or post-publication?
- Draft a brief email to the author outlining your recommended approach to peer review for the work.

Common Pitfalls

Long-form works should be constructed to provide a logical and easily followed line of reasoning through a complex argument. However, many things can impede this easy progression. These can include:

- **Thesis-like language:** A reviewer may point out and the copy editor can be asked to reword or delete phrases such as “In this study I will show...,” “This line of inquiry will demonstrate...,” “Thanks to my dissertation committee...,” “In conclusion...,” “I will now demonstrate...” All of these are signs of a young or inexperienced writer. These are known as transitional phrases and reliance on this kind of language and stock phrasing is a sign the author is lacking courage and/or confidence. Writing is hard, but a scholar who works in long-form must be encouraged to work on the craft of writing, too. Writing is now part and parcel of their academic career. Even edited volumes should not suffer from bad writing.
- **No table of contents, incomplete notes, and/or inadequate references:** These are the core of the long-form and provide the map to the author’s presentation and research. Incomplete references represent shoddy scholarship, and can even, in the very worst cases, lead to charges of plagiarism. Reviewers will likely catch when an author has neglected to reference relevant scholarship and can be asked to watch for this in the instructions.
- **Unvarying sentence structures:** Again, this comes back to the craft of writing, but authors can easily fall into a sentence structure that is simple and boring. A common technique is to tap out the rhythm of the sentence and see how often it is repeated. A strong copy editor can catch this.
- **Over-reliance on quoted materials:** Block quotes, repeated references, and long quotes from other scholars are often a sign of inadequate research or lack of confidence in their own voice. One way to point them in the correct direction is to rewrite the entire introduction without referencing any other scholar. This will force the author/editor to clearly craft the thesis and contribution of the work. Reviewers are usually alert to this.

- **Gilligan’s Island Syndrome:** It’s not really a syndrome, but it is very common. It’s an episodic approach to the research problem. “Here is the problem, here is the data, here is the conclusion. Repeat.” This is not a progressive form of narrative and may work for a case study, but very few other works. It can be a problem for edited volumes in particular, where the editor has not written an introduction that ties the individual chapters together.

How Much Applies to You?

Once again, turn to your editorial strategy and the types of services you are providing to determine if you will address some or all of these issues. If your program is structured to provide general support and guidance to authors, but expects them to be responsible for the project’s structure and content, you likely won’t get into this level of editing. However, if you are actively working with an author to create their publication, and especially if your goal is for it to have a broad impact, you’ll want to keep these points in mind.

Setting Author Expectations

Authors are understandably confident in their work, but this confidence can lead to unrealistic expectations and ideas related to its publication. As publisher, your job is to manage these expectations to ensure an open and productive partnership. An author may not expect a book published by a library publisher to undergo peer review. If it will and if they will be asked to make revisions based on the reviews, make that clear from the start. The same is true for copyediting; if the manuscript will be copyedited, make sure the author knows to expect it.

Authors can have little understanding of the amount of time needed for their book to be published or that you need to load existing work into your repository. Take the time to explain the process and schedule up front. If your program gives users the option of ordering low-cost, print-on-demand versions, make authors aware of the implications of color art. Although electronic editions can include unlimited color art, including color in a print/POD version, it is expensive and can limit your printing options. Talk with the author about what, if anything, you can do to enhance discovery of their book, as well as what they can do to bring attention to it.

Setting Author/Editor Expectations

Align author expectations with your editorial strategy and level of support. Explain the production process and schedule. As described in Unit 2 of the Content module, be clear on what is involved in:

- Peer review
- Revisions
- Copy editing
- Review of proof
- Index creation
- Final format (online, POD)

See Unit 2 of the Content module for a description of the production process.

Activity: “Troublesome” Authors

Select one of the following scenarios:

- **Scenario 1:** The author of a poorly written and disorganized monograph rejects most of the edits, including those eliminating repetition and correcting stylistic and usage errors. The author

is the chair of the history department, serves on several faculty committees, and is a vocal supporter of the library.

- **Scenario 2:** An author wants to include data visualizations in her humanities monograph, which is well-written and mostly finished. She has no previous experience with visualization software. She is looking for help from your publishing program in learning the software and building more interactivity into her work. Your program has a commitment to publishing groundbreaking and experimental scholarship, but has no one on staff with expertise in data visualization software.

Consider the following questions:

- How will you respond to the author?
- Through what strategies can you manage author expectations about your service model?
- What written policies do you need to have in place to make it easier to say “no”?
- Are there reasons you might accept projects or concede to author demands that don’t align with your content strategy or policies?

Draft a brief email to the author recommending a path forward.

Discovery of Long-Form Works

Librarians have long been familiar with MARC records, which are bibliographic records that ensure publications are included in and discoverable through library catalogs. If you plan to deposit titles in HathiTrust, MARC records are required. You may be less familiar with ONIX, an XML format that is the standard for sharing book metadata. The list of ONIX fields is extensive; many publishers use a subset of these fields when supplying metadata for discovery and to facilitate sales. ONIX feeds are required by book wholesalers and retailers, including Amazon, Ingram, and Baker and Taylor. If you plan to create and sell a print edition, you’ll be expected to supply metadata in ONIX. More information on ONIX is available [here](#) and the full code list is available [here](#).

Digital Object Identifiers (DOIs) are another way to ensure long-term discovery and use of long-form scholarship. DOIs—unique, persistent identifiers for digital objects—can be assigned for electronic versions of long-form works. Click [here](#) for more information on DOIs. They can also be assigned at the chapter level, particularly for edited volumes. While the DOI itself is persistent, the associated URL can change as platforms are reengineered or move. Consider becoming a member of [CrossRef](#) to obtain a DOI prefix and begin registering DOIs.

Dissemination of the electronic versions is key to discovery and use. In addition to including open-access versions in repositories such as HathiTrust and OAPEN, you can approach Project MUSE and JSTOR about including your open-access long-form titles in their eBook aggregations. (There may be fees to offset their costs around including the titles.) Both platforms are heavily used and the cross-searchability can result in discovery by users who would not otherwise know about them.

Activity: Understanding Discovery of Long-Form Content

Search for each of the following monograph titles...

- Footprints in Paradise: Ecotourism, Local Knowledge, and Nature Therapies in Okinawa
- The Most Dreadful Visitation: Male Madness in Victorian Fiction
- Almost Hollywood, Nearly New Orleans: The Lure of the Local Film Economy

...using at least three of the following discovery services:

- Amazon
- Google Books

- Worldcat
- JSTOR
- Director of Open Access Books (DOAB)

Document the metadata you find from each source.

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Springer's [Book Structure](#) guidelines

Appendix A

Review Request

Dear _____:

I write from the library publishing program at [UNIVERSITY] to ask if you would be willing to read and report on [AUTHOR'S] manuscript for [TITLE].

[INSERT PROJECT DESCRIPTION HERE.]

The table of contents for this manuscript, which is [NUMBER] pages (notes included), appears below.

If you agree to read and report on these materials, we will send you [INSERT MATERIALS THAT WILL BE SENT], which add up to [NUMBER] pages (notes included).

I'd ask to receive your comments in six to eight weeks; an exact date will be determined once you accept this invitation. In exchange for your report, we can offer you an honorarium of [DOLLARS] in the form of a check.

In the event that you cannot review this project, I would be grateful for your reply as soon as possible and for any suggestions you may have for other potential reviewers.

If you have any questions about this request or this project, feel free to contact me.

I look forward to hearing from you.

Appendix B

Instructions for Reviewers

Dear [REVIEWER]:

Attached please find the manuscript for [TITLE]. Thank you for agreeing to review it. The report has two basic purposes: to assist us in deciding whether to publish the work and to help the author incorporate changes that will make it the best book possible for its audience. Our questions are as follows:

1. Is there either something "new" here or at least a synthesis of literatures and arguments that will render the book different from existing texts?
2. What do you see as the strengths and weaknesses of the work? Does it make a significant impact on the field? Is it well-written? Clearly organized?
3. Are the facts right? Are the sources authoritative and has the author referenced the relevant scholarship? Do the methodology and data seem to add up? Are any translations and quotations correct?
4. Is it well-written? Clearly organized?
5. Are there topics you feel should be covered that the author has not mentioned? Is there anything on which the author dwells too deeply? Do you have any additional suggestions?
6. What are the competing works on this subject? Please describe their merits relative to this one.
7. What do you believe is the audience for the book? Is it primarily for scholars/researchers? Could it be used in a classroom and, if so, in what fields and at what level should it be used? Do you view it as a trade title with good potential sales?
8. Finally, do you suggest we offer a contract for this book? Would the completed volume be one you would recommend to students and colleagues, one you would want in your personal library?
9. May we share your identity with the author?

We would like to receive your report by [DATE]. In recognition of your efforts, we can offer you an honorarium of [AMOUNT]. In order to process this payment, we require the attached W-9.

Once you've completed your report, please email me your comments and the completed financial paperwork. Once again, thank you for taking this on. We look forward to hearing your opinion on the manuscript.

Additional questions for textbooks/OER

Do you teach a course for which this book would be appropriate? If yes, what is the title of the course? What is the level of the course (undergraduate, upper level undergraduate, graduate)? What is the approximate enrollment?

Is this book structured in a way that would fit your course? What big-picture structural changes would need to be made in order for the book to fit your course?

Is the book written at the right level for your students? Why or why not? What changes, if any, do you think need to be made?

How likely would you be to consider adopting this book if the author revises the manuscript in line with any suggestions you have made above (highly likely, somewhat likely, not likely)? What are the most important changes the author needs to make, if any, to make you more likely to consider adoption?

We see this primarily as a book for course use, but please tell us what potential you see for this book in other markets (among scholars, the general public, etc.)

Do you support publication of this book?

Unit 4: Journal Publishing

On the surface, launching a journal may appear to be one of the simplest, most straightforward means of starting a library publishing program, especially if a professor or group of students comes to you with a pre-formed idea, but even such service-oriented projects can be deceptively complex. Are the editor's needs and expectations aligned with your resources and capacity? What roles and skills do you need to successfully support a journal? How will you promote the journal to potential authors and readers? In this unit, you'll learn the fundamentals of launching and maintaining a journal publishing program in a library, including common motivations, service models, policies, and marketing strategies that support successful journals.

What You Will Learn

- Explain why libraries gravitate to journal publishing.
- Identify the types of journals best suited to library publishing.
- Identify the key activities and decisions involved in journal publishing.
- Plan for the launch of a new journal.
- Evaluate a journal's suitability for your program in the context of program strategy.
- Deconstruct a journal's social media marketing strategy and evaluate its effectiveness.
- Develop a basic journal marketing plan.
- Reassess journal partnerships, policies, and procedures as circumstances change and navigate relationships with journal editors.

Why Journals?

Journals are the most commonly reported library publication in the Library Publishing Directory. Why have so many library publishers gravitated towards journals? Journals are well-suited to repository-based publishing, and many modern repositories have integrated tools for submission management and peer review. Also, they are already being published on your campus. Librarians have long been at the forefront of Open Access advocacy. Building an OA publishing program on campus is part of a natural progression from advocacy to action. OA publishing models are well-established for journals, less so for monographs. Escalating journal prices, especially in the STEM fields, excessive delays between article submission and publication, restrictive licensing terms, and other shortcomings of the current journal publishing system have led to deep frustration among scholars and librarians. It is likely that many individual faculty members, students, and/or institutes are already publishing journals on your campus. They may benefit from the library's centralized infrastructure, skills, and expertise.

Journal publishing can be one of the most straightforward ways to launch your library publishing program. The minimum requirement is a hosting platform, such as an institutional repository (Digital Commons is one of the most popular) or a dedicated journal publishing software (libraries commonly choose Open Journal Systems). That's not to say that journal publishing is simple; it requires skills, coordination, and resources to launch even the most basic journal portfolio. You'll need to take raw content, often a virtual stack of Word documents, and turn it into a cohesive, polished, and technically sound final product. Many libraries provide services that go well beyond hosting and that leverage librarians' existing skill sets. According to the Library Publishing Directory 2016, the most common added services include copyright advisory (93%), training (91%), metadata services (88%), digitization (82%), hosting of supplemental content (77%), analytics (73%), cataloging (68%), outreach (61%), and ISSN assignment (58%).

How Do Librarians Contribute?

The librarian can be:

- an all-around promoter.
- a provider of clerical support.
- a provider of technical support.

Building a Journal Portfolio

In many cases, libraries launch brand new journals led by scholars on their campuses. These include:

- **OA journals:** Library publishing can be an excellent option for scholars who want their work to be available to the broadest possible audience. Most library publishers favor OA models, especially for journals, and also encourage generous licensing terms that allow authors to retain rights to their own content (rather than ceding it to the publisher) and that permit reuse and remixing by others.
- **Journals in niche or esoteric fields:** Journals with an extremely specific focus can have a difficult time finding a home with a commercial or even a university press publisher since they are unlikely to generate enough revenue through subscriptions to remain viable. Libraries that fully subsidize their publishing activities can provide an outlet for this kind of scholarship. These publications may be the most important in their (extremely narrow) fields.
- **Multimodal journals:** Libraries have been at the forefront of digital humanities and e-science work. Some bring that expertise to the development of media-rich journals that eschew PDFs in favor of dynamic websites that incorporate audio, video, 3D models, and data sets. Many commercial publishers balk at these resource-intensive projects.
- **Student journals:** Many library publishers work with student research journals, which showcase original scholarship produced by undergraduate students. Like many other library published journals, these are unlikely to find a home with a commercial publisher because they will not generate enough revenue to even cover the costs of publication.

Libraries also work with existing journals, including:

- journals that want to leave a commercial publisher to go OA.
- journals published by an individual faculty member or department looking for a partner with better resources.
- journals that want to transition from print-only to digital.
- out-of-print journals that want to digitize their backlists.

Defining Roles

At its simplest, library publishing involves a scholarly partner who oversees content decisions and a library partner who oversees the technical activities of production and dissemination. Dozens of smaller activities fall within these two broad categories. To avoid conflict and misunderstanding down the road, it is important to define specific roles and responsibilities for the key components of journal publishing (content, production, and marketing) at the outset.

With monographs, authors typically approach scholarly publishers with a draft of their work for consideration. After deciding if it is suitable for their list, the publisher then sends the manuscript out for peer review, managing that part of the process. But with a journal, this portion of the work is handled by the journal editor, not the publisher. The journal editor is, therefore, the curator, coordinating the

selection of individual articles and putting them together in such a way that they fulfill the mission of the journal.

Other steps in the pre-press process, including copyediting and typesetting, may or may not be performed by the journal editor, or a managing editor who reports to the journal editor and whose job is to oversee the nuts-and-bolts minutia of putting each issue together. In such a situation, the publisher may appear to act as little more than a pass through, providing a range of publication services that may include printing, mailing, maintaining subscriber lists, posting to digital platforms under their umbrella agreements, promoting at key conferences, sending out publication announcements, etc.

Alternatively, these steps may be undertaken by the publisher via a managing editor or other staff members who report to the press's journals manager and oversee tasks such as copyediting and typesetting. Such situations give the publisher greater control over the content and appearance of the journal and also create a more equal partnership between the publisher and the journal editor. In a traditional university press journals program, this also leads to cost-effectiveness, as one managing editor can be responsible for more than one journal.

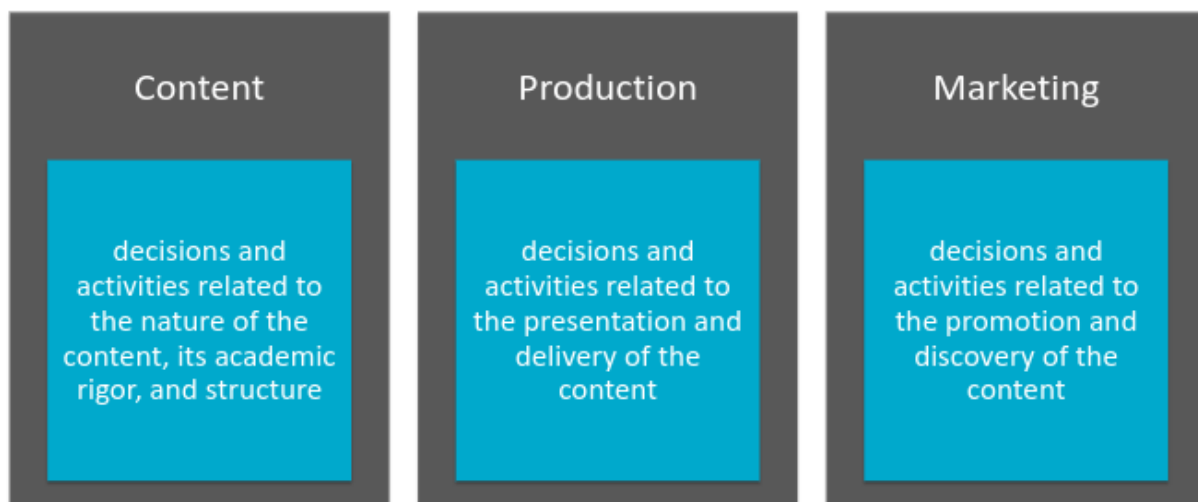


Figure 4.1: Aspects of Journal Publishing Workflows. A diagram that explains the different aspects involved in the workflow of journal publishing.

Activity: Think About It!

- Brainstorm as many tasks as you can that must (or could) be completed in order to publish a journal.
- Write each one on a sticky note and post it on a whiteboard.
 - Use pink sticky notes for activities related to content.
 - Use yellow sticky notes for activities related to production.
 - Use green sticky notes for activities related to marketing.

Should We or Shouldn't We?

	Publisher	Journal	Aligned?
Disciplinary Focus	Editorial Interests	Editorial Focus	
Licensing	Acceptable Licenses	Desired License	
Revenue Model	Acceptable Revenue Models (e.g., Gold OA, Platinum OA, subscription)	Revenue Model	
Technology	Publishing Platform Features (e.g., acceptable file types, publication formats, preservation)	Technical Requirements (e.g., integration of multimedia, HTML and PDF versions of articles)	
Services	Services Provided (e.g., hosting, unique IDs)	Services Requested	
Capacity	Resources	Frequency and Volume	

Figure 4.2: Do Your Answers Align? A table providing examples of a publisher's and journal's disciplinary focus, licensing, revenue model, technology, services, and capacity.

Regardless of how much of the production work is undertaken in-house and how much is assumed by the journal editor, a publisher still has to determine if they're the best fit for a new or existing journal. Journal offerings typically do not need to be cultivated with as much attention to subject areas as monographs, but it can be helpful for both promotion of existing journals and acquisition of new ones to avoid an approach that is too scattershot.

Even publishers who adopt a more editorially driven approach to content development will pay attention to opportunities that are presented to them. Depending on the mission and focus of your publishing operation, when approached by a new or existing editorial team, you'll have to decide if you should take on the project.

The first of many decisions you need to make when considering a journal is to determine whether it is a good fit for your program. Many factors contribute to this decision. Excellent content or a brilliant idea will only get you so far. Publishing a journal well is about matching content with appropriate skills and resources. Before you even take a look at a proposal, take an inventory of your interests and capacity:

- What are your areas of focus (disciplines, geographical regions, types of media, etc.)?
- Do you publish exclusively OA journals? Exclusively subscription journals? A combination?
- What are the features and capabilities of your hosting platform? In what format can you publish (HTML, PDF, etc.) and what file types can you accept (videos, images, etc.)?
- What are your staffing resources? What types of services can you provide, and how often or to what extent?

Next, review the proposal. Gather more information from the editor, if necessary. Consider some or all of the following questions and how they align with your inventory:

- What discipline or topical area does the journal cover?
- How much do the editors know about their potential audience?
- Is the idea broad enough to sustain for the long haul, or so narrow in focus that the editors will exhaust the topic within a few years? And does their answer mesh with your long-term publishing plans?
- How many issues will you publish each year?
- What technical needs does the journal have?
- Do the editors have realistic expectations about the services you will provide based on your resources and capacity?
- Do the editors have a realistic understanding of their roles and the time commitment required to publish a journal?
- Will the journal be open access? Will it use a Creative Commons license?
- Will the content be peer reviewed?

Once you have determined that you will accept a proposal, you will have many more questions to answer. See the “Issues to Consider When Starting a Journal” checklist in Appendix A for a list of questions.

How do you intend to pay for the editing, typesetting, publication, and dissemination (and/or discovery) of the journal? OA can eliminate the need to manage subscriptions, but free to readers doesn’t mean free to produce. Some established OA journals charge Article Processing Charges (APCs). However, these fees, typically paid by contributors, were established in a hybrid environment, and the standard amounts (between \$1200 and \$1500) fail to offset much more than typesetting costs except in the cases of some mega OA journals publishing tens of thousands of articles a month.

Who Pays for Journal Publishing?

- Fully subsidized by the library operating or materials budget.
 - Typically lightweight service, hands-off approach.
 - Journal can independently arrange and purchase additional services (e.g., graphic design) from freelancers.
- Partially subsidized by library with for-fee add-ons.
 - Basic hosting can be augmented with *à la carte* services at a reasonable cost to the journal.
- Fully subsidized by journal.
 - Most or all services paid for by journal, typically at-cost.

Assuming the broad parameters around these issues are a good match, what about the specifics? If you publish three OA journals in medicine, can you translate that expertise to mechanical engineering? If your two African economic studies journals are successful, if small, are you prepared to launch a similar project geographically focused on Southeast Asia? Can the copyeditor of your theater journal handle musical examples for a related project?

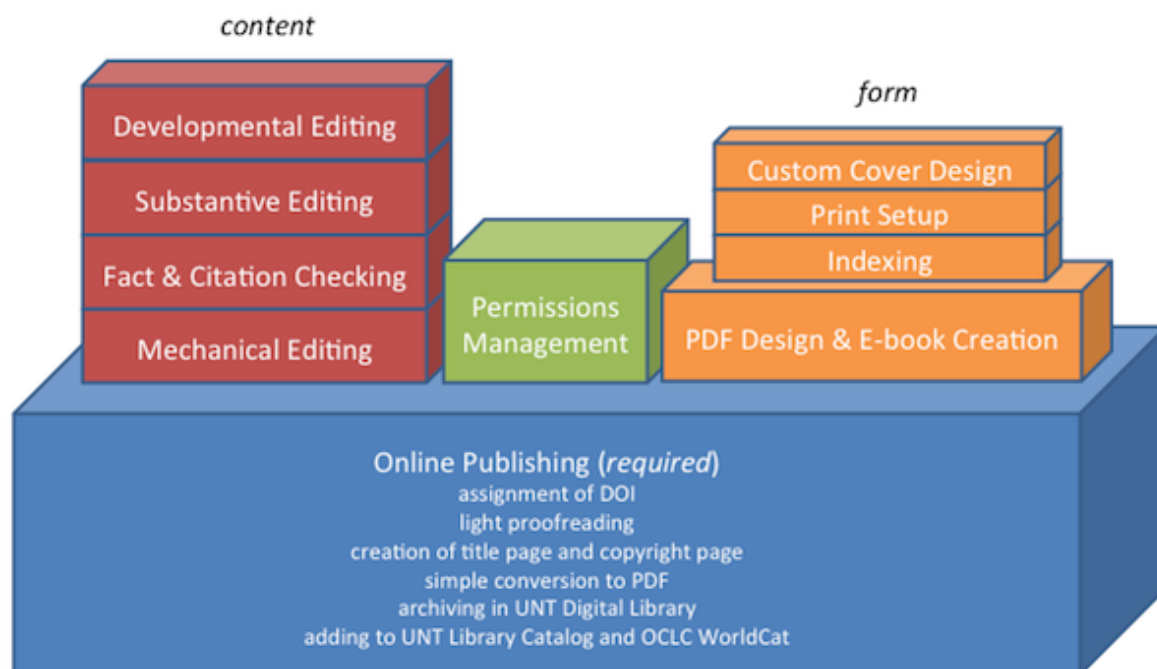


Figure 4.3: Tiered, For-Fee Service Model. A model showing the different types of costs associated with journal publishing. (Source: Aquiline Books, UNT Libraries, <http://www.library.unt.edu/aquiline-books/services>)

Bear in mind that excellent content is only part of the process. Publishing a journal well is about matching that content with pragmatic knowledge and skill.

Activity: Starting a New Journal

A senior professor at your university, Professor Burr, wants to establish an OA journal using grant funding. She's never edited a journal before, but has heard that you're launching a library publishing program and wants to work with you.

- Prepare an annual budget for the work she wants you to undertake.
- See Appendix B, Scenario: Launching a Journal, for additional details.
- Professor Burr has requested an estimated annual budget for publishing her new journal.
- Using the [Journal Cost Estimator worksheet](#), draft a budget for the annual costs involved in publishing the journal. In addition to fixed production costs, the cost estimator tool accounts for the staff time involved in activities, such as copyediting.

If You Build It, Will They Come?

In the pre-internet days, launching a new journal was a time-intensive process. It could be sped along if created under the auspices of a scholarly society, but getting the word out in order to collect submissions could take as long or longer as undertaking a direct mail campaign to collect initial subscribers, especially if your primary focus was on targeting academic libraries.

Today with the help of email discussion lists and social media, one can collect submissions for a completely new journal much faster. Additionally, adopting an OA model can solve the problem of needing to build a subscriber list; publication merely requires posting on one's repository or a website

running journal publishing software. However, publication doesn't automatically result in readership. As Nick Ripatrazone points out in one of our readings, the act of reading involves a time commitment that not everyone on a friends list will invest.

How, then, do you get the word out about a new journal? Alas, there is no single answer. The art of promotion still involves more than a little luck and throwing a lot of information out there repeatedly until, eventually, it reaches a tipping point and takes on a life of its own.

There's a rule of thumb in fundraising that says one needs a minimum of seven points of contact before asking for money; similar rules are in place for all kinds of consumer goods. It's why you'll often see the same commercial over and over again within a single hour of television; repetition is key. Thus, a single email blast, a well-timed Tweet, or even a widely shared Facebook post should be considered the beginning, not the end, of a publicity or promotion or sales campaign.

How many different ways can you get your message in front of key decision makers? How many different partners (journal editor, article authors, press staff) can you enlist to assist? How do you determine the best keywords to include in your metadata so that the appropriate Google search finds your article or journal? To what extent do you want to build a brand identity around the journal?

Activity: Evaluate Promotional Strategies

Choose one company:

- Look at the *Southern Spaces* [website](#) and the journal's social media channels:
- [Twitter](#)
- [Blog](#)
- [Facebook](#)
- Look at the *eLife* [website](#) and **at least three** of the journal's social media channels:
- [Medium](#)
- [Facebook](#)
- [YouTube](#)
- [Twitter](#)
- [GitHub](#)

Describe the journal's presence on each channel:

- How many followers does the channel have?
- How much engagement/attention/views do posts receive?
- How would you describe the voice or tone of the posts? Who seems to be writing the posts? Do they reflect a consistent voice or personality?
- What type of content does the journal post on each channel? Are they highlighting new articles, recapping media coverage?
- Do you find the content of the posts informative, engaging, exciting?
- Do you find yourself inclined to learn more?

Discuss the following questions:

- What is the purpose of maintaining a presence on each channel?
- How does the content, voice, and engagement differ between social media channels?
- Can you determine the target audience for the journal? Does the target audience differ for their social media channels?

This is assuming, of course, that one metric of success is readership. Another, often discussed in relationship to STEM journals, is Impact Factor (IF), which is computed based upon citations. What are the metrics for success that matter the most to your press?

Activity: Build a Promotional Strategy

Consider the following questions:

- What sets your journal apart?
- Who is the target audience for your journal?
- Where does your target audience go to keep up-to-date in their field?
- How much time can you expect your editor(s) and library staff to devote to marketing activities?

Develop a short (roughly 2 pages) marketing plan that includes the following elements:

- Roles and responsibilities (who will perform which marketing functions)
- Channels (where will you promote your journal and its content)
- Content types (if you will simply link back to articles, create webinars, or other original content)
- Schedule (how frequently will you aim to update your channels)
- Sample content (e.g., a few potential Tweets, a brief description of the journal for promotional materials)

That Was Fun. Let's Do It Again!

Throughout this module, we've been looking at ways to make conscious choices about the kinds of publishing each press has to decide to undertake, both in terms of content and in terms of format. With regards to journals, the specific decisions about content (which articles to publish) are out of the publishers' hands. While this outsourcing can extend a publisher's reach, particularly when it comes to acquiring content, the need to replicate the content annually, or as many as two, three, or four times per year, creates challenges of sustainability.

Journals can change editorship. They can also migrate from publisher to publisher. Making sure all parties are on the same page and happy with ROI is an ongoing and never-ending process. A book manuscript can be reviewed and revised before publication, but with rare examples (including textbooks, discussed elsewhere in this module), a book manuscript is not subject to regular revision and reissue. A journal is always reinventing itself, issue to issue.

Activity: Should We Part Ways?

Two years after the launch of what has become your flagship journal, the editor loses their funding source. They've never completely understood what you do for them and believes they've found a WordPress platform that will allow them to continue on their own at a fraction of the cost they've been paying. The journal has robust readership and several of its articles have garnered significant media attention. See Appendix C, Scenario: Maintaining a Journal, for additional details.

Consider the following questions:

- Will you attempt to keep the journal or will you decline to publish?
- If you decide to keep publishing the journal, how might your role as publisher change?

Draft an email response to the journal's editor.

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Appendix A

Issues to Consider When Starting a Journal

The original aim of this list was to help the founder(s) of a student research journal brainstorm and organize. The considerations apply equally well to any new scholarly journal.

Planning and Policies

Ownership

Who owns the journal (e.g., an academic department, a student society on campus, etc.)?

Continuity

What mechanism is in place to ensure the journal's continuity?

Faculty involvement

How many faculty members are involved in the journal's operations?

Title

What is the journal title?

Has it been used by another journal or publication?

Purpose

Why has the journal been created? What purpose(s) does it serve?

How will it contribute to research and scholarship?

Scope

What will be the scope or subject area(s) of the journal?

Will it cover interdisciplinary works?

Authors and readers

Who will be eligible to contribute to the journal?

Who will be the target readers?

Content

What kind of article will be published (e.g., original research articles, review essays, opinion pieces, etc.)?

Language

Will the journal only publish articles written in English?

Submission guidelines

Will there be a page or word limit per article?

What citation style should be used?

How should the manuscript be formatted (e.g., double-spaced, line-numbered, etc.)?

Will previously published materials be accepted?

What content type(s) will be accepted (e.g., texts, charts, tables, graphics, multimedia, supplementary datasets, etc.)?

What file format(s) will be published (e.g., .pdf, .xls, .jpg, .mp3, etc.)?

Author agreement

What should be the terms for the author agreement?

Will the journal publish particular information about authors (e.g., a brief bio, a picture, etc.)?

Copyright

Who will own the copyright of published articles?

Will the articles be published with a Creative Commons license to facilitate knowledge sharing? If so, which license will be adopted?

Frequency/publication schedule

How many times will the journal be published in a calendar year?

Will articles be grouped and published together as an issue? Or will they be published on a rolling basis (i.e., they are published individually whenever they are ready)?

Numbering

How will the journal be numbered? By volume and issue (when articles are grouped and published together) or by year and article number (when articles are published individually on a rolling basis)?

Will articles published in different issues have continuous page numbering?

Site design

Is there a logo, banner, theme color(s), and/or cover image for the journal site?

What is the timeline for the development and launch of the site?

Launch

When will a call for papers be issued?

When will the inaugural issue be published?

Staffing and Editorial Workflow

Editor(s) and contact person

How many editor(s) will there be?

What will be the requirements for the editor position(s)?

Who will receive and respond to questions and comments about the journal?

Journal team

How many positions will there be on the journal team?

What will be the responsibilities for the positions?

How long will the terms be for the positions?

How many reviewers will there be in total?

What will be the requirements for journal team members and reviewers?

How will journal team members and reviewers be recruited and evaluated?

Editorial workflow

What will be the review procedure?

How many reviewer(s) will be involved in reviewing a manuscript?

What will be the review criteria?

If students will be reviewers, what training will be provided to them?

How many days will a reviewer have for completing a review?

How much time will be appropriate for the entire editorial workflow?

Production, Promotion, and Preservation

Copyediting, layout editing, and publishing

Who will be responsible for the proofreading, copyediting, and layout editing of accepted manuscripts?

If translation is required for accepted manuscripts, who will be the translators?

How much time will be appropriate for the proofreading, copyediting, layout editing, and/or translation?

Will there be a budget for proofreading, copyediting, layout editing, and/or translation if the work has to be outsourced?

What information will be displayed in the online article record (e.g., an abstract, keywords, the article citation in a particular style, etc.)?

Should the system be configured to generate a cover page and an abstract page for the downloaded article?

Should the system be configured to generate a header and a footer on the content pages of the downloaded article?

Will a digital object identifier (DOI) be assigned to each published article? If so, who will be responsible for providing the outbound DOI links for the papers cited in an article? What will be the funding source for new DOIs?

Marketing

Who will be responsible for the ongoing marketing of the journal to attract readers and recruit authors?

What will be appropriate and effective marketing channels for targeted readers and potential authors?

Will the journal create an RSS feed for newly published articles?

Will the journal use Google Analytics or a similar tool to track readership?

Will there be a budget for marketing? Will it be ongoing?

Impact assessment

Will the journal provide article-level metrics?

Archiving and preservation

What will be the plan for archiving and preservation?

Adapted from Ho, Adrian K. "Library Services for Creating and Publishing Student Research Journals." In Library Publishing Toolkit. Edited by Allison P. Brown. IDS Project Press, 2013, <http://opensuny.org/omp/index.php/IDSProject/catalog/book/25>.

Appendix B

Scenario: Launching a Journal

Abstract

A senior professor wants to establish an Open Access journal using grant funding. She's never edited a journal before, but has heard that you're launching a library publishing program, and wants you to publish the journal. She has come to you with her expectations and desires, and asked you to put together an annual budget for the project.

Narrative

Alexandra Burr is a full professor of political science at your university. She has secured grant funding from a prominent conservative think-tank to launch a new OA journal dedicated to examining more closely the intent of the founding fathers in such issues as drafting the constitution, setting up the national treasury, organizing elections, and the federal government's role in overseeing state politics. She has also enlisted an advisory board of senior faculty from institutions across the country, all of whom have agreed to serve as peer reviewers and to provide newly written articles for one of the first four issues. The journal is scheduled to contain four or five articles per issue, of approximately 10,000 words each in length.

Professor Burr is a nationally recognized expert in her field, well-connected, and an occasional guest on Sunday morning TV political talk shows. She has brought in numerous grants to the university. However, she has never edited a journal, and doesn't know where to begin, or how much it might cost. Thanks to the funder, the journal has adequate start-up resources but no permanent source of funding. Professor Burr adamantly refuses to consider article processing charges (APCs), otherwise known as author fees, to generate revenue.

The journal will be digital-first with a print-on-demand version available. Advisory Board members and the grantor expect to receive complimentary print copies of each issue mailed to them, totalling approximately 50 copies per issue.

Appendix C

Scenario: Maintaining a Journal

Abstract

Two years after the launch of your flagship journal, the professor loses her funding source. She's never completely understood what you do for her, and believes she's found a WordPress platform that will allow her to continue on her own at a fraction of the cost she's been paying you. Do you attempt to keep the journal by meeting her pricing demands? Or do you decline to publish? If the latter, how will you navigate the potential negative impact?

Narrative

Two years have passed since you launched *Founding Fathers Review*. You've put out three issues, the fourth is in typesetting, and the content for the fifth issue is due to you in three months. However, Professor Alexandra Burr has contacted you with some unhappy news: the grantor has decided to shift their spending priorities and will not be funding the journal moving forward. She does have some limited funds available, and wants to know what services you can still provide if your budget is reduced to 25% of what you initially proposed.

Just before publication, some senior members of library administration expressed concern about accepting funds from a think tank that actively fought against progressive policies that many (though not all) of your colleagues believe in. They were convinced that the journal would be criticized for lackluster scholarship. However, Professor Burr and the advisory board know their content, and the journal has been praised for its intellectual rigor. At least one state legislator who helps control funding to your university has also noticed the journal and praised it for what he views as a "corrective" to portions of the curriculum he does not like.

The journal has also been heralded within the library community for having eschewed APCs. Its visibility has been such that a number of conversations with other scholars on your campus are taking place regarding the launch of other journals, though no MOUs have yet been signed.

Professor Burr recognizes that with the reduced level of funds, the number of free print copies will have to be dramatically reduced. But she still expects the same level of copyediting, typesetting, and promotion--assuming that most of your costs are tied up in printing. This is in part because she's found a WordPress platform that, she believes, will accomplish everything you've been doing for only 10% of your budget. She'll simply post future issues on her department's website, instead of in your repository. And assumes that she can simply email the PDFs to Project MUSE for dissemination on their platform.

You've looked at this platform and realize that it assumes that materials will be printed as submitted. Professor Burr either doesn't acknowledge or understand that you've been copyediting all submissions before typesetting. She claims to have copyedited the work herself, though you've always been aware of a certain sloppiness particularly in grammar and the construction of notes and bibliographies. You're also aware of the behind-the-scenes work you undertook to create DOIs for the individual journal issues that reside on the library's repository.

Obviously, you have an educational challenge in front of you. But that doesn't change the budgetary realities of the lost funding. How do you proceed? What services, if any, can you drop? Is it cost-

effective in terms of program building to take on some costs yourself? Or do you need to step away from the project entirely, regardless of the possible fallout?

Unit 5: Publishing Educational Materials

Open Access (OA) has been part of the library lexicon for a number of years, but only recently has it captured the awareness and attention of high-level institutional administrators and decision makers. It wasn't for lack of trying to get the word out. Parents and students have long complained about the high cost of texts. Textbook affordability has been on the minds of many educators, and at least 37 states have passed some form of textbook affordability legislation. Yet free and open textbooks and open educational resources (OER) have been slow to catch fire on campuses. Why is that? An overview of how textbooks are made and selected will shed light on some of the barriers to success.

What You Will Learn

- Describe the differences between commercially produced and OA learning material texts.
- Understand the challenges OA texts face in adoption.
- Develop OER from scratch or remix existing resources in use at your institution.
- Develop an OER publishing strategy that dovetails with institutional goals for availability and affordability.
- Understand the importance of creating accessible OER.
- Conform to existing courseware delivery mandates at your institution.
- Get OER into the hands of instructors and students on campus and beyond.

Today's Textbook Scene

This module will deal primarily with the texts used in large, multi-section, introductory courses, i.e., the core curriculum or base courses. Instructors in smaller and upper-level courses have much more freedom when choosing a text, but the economics of commercially produced texts are the same regardless of the number of students taking a particular course.

The large textbooks we are all familiar with begin their development with an in-depth market analysis of how many students nationally take a particular course, student study habits and interaction with materials, and in what order the majority of instructors teach topics they must cover. What the instructors cover is usually determined by a campus-wide curriculum-development committee. How they teach the material remains a last bastion of academic freedom for instructors. As long as course objectives are being met, many faculty have tremendous leeway in how they will approach a course. The exceptions to this rule are the large-enrollment courses, usually taken in freshman and sophomore years, that constitute the school's "core" curriculum. Often these courses and their materials are taught by graduate students or adjunct professors, and to ensure continuity across the course, departments have textbook committees. It is these courses, with semester enrollments in the thousands, that commercial textbook producers target. The payoff to get your text into one of these courses is tremendous; to have a text dominate the market (for example, *Campbell's Biology*, tenth edition) is the goal of every textbook publisher. Why? Because once an instructor or even an entire department has selected a book and developed the homework, test questions, and laboratory materials to go with that textbook, they loathe to recreate all of that work. Hence, the introductory courses are the most competitive for publishers, and the development of these texts can take several years and millions of dollars.

The intensive market research commercial textbook companies begin with also serves as an early sales pitch to selected professors. These companies have large, well-funded sales forces that visit

campuses, beautiful color brochures, in-house sales reps that follow up a campus visit with phone calls, and expense accounts. (Most universities have rules against faculty accepting any gifts in exchange for selection, but loopholes are not unheard of.) With all of these resources behind the creation of one text and its robust ancillary materials (websites, online homework, test banks, etc.), it is no wonder the price tags are so high. Couple these high R&D costs with the exceptionally robust used book and textbook rental markets and the costs have to rise every year to return the same dollars to investment. A publisher will try to make 80% of this investment back in the first year of publication. After that, used/rental books sales can account for 60-70% of the textbooks used in the second year. The manager of your campus bookstore can provide information and data on the situation at your institution.

One response to the high costs of textbooks has been the growth of OA and textbook affordability policies. (See [Open Access and Book Publishing](#).) Logic would dictate that moving to open textbooks would be an easy decision—textbooks that cover the same topics and cost the students much, much less. So why the slow faculty uptake? As with all answers, it is more complicated than not wanting to create a new syllabus. Instructors may be teaching four or five courses per semester while doing their own research and, therefore, don't have the time to devote to making a change. The material can be so woven into the syllabus it would take years to unravel, and/or the textbook committee may refuse to make a change. Professors have said a well-written text is more important than an affordable one. In a 2012 survey, Florida faculty reported positive perceptions of OER, but time, effort, money, and funding were all seen as barriers to their success. While a large percentage saw themselves using OER in the future, few saw themselves authoring them, as it had little or no impact on their professional advancement. Whatever the reason, the existing text has home-field advantage. (The survey report is available [here](#).)

In addition to a resistance to change, some perceive OA texts as inferior. That is, if the author could not create a commercially successful text, then off it goes to an OA platform. There is no evidence to support this, but rumors remain.

Why Don't More Faculty Use OER?

- Lack of awareness
- Time and effort to find suitable material
- Lack of professional recognition for using OER

Despite the market forces at play against an OER's success, don't be deterred; being part of a solution is a terrific feeling, as long as you understand the obstacles. An environmental scan of your institution will no doubt reveal many open resources in use, be they open textbooks from OpenStax College or the Khan Academy tutorials on YouTube. Many faculty have either created their own or use existing OA texts. For example, take a look at the video "[Creating an Open-Access Textbook: A conversation with Jenifer Schneider](#)."

Commercial Texts vs. OA Texts

Commercial

- Millions of dollars to create
- Dedicated sales force
- Market research galore
- Robust ancillary sets
- Limited eBook use
- Resalable

- Returnable
- Success means big money

Open Access

- Adaptable
- Affordable
- Accessible
- Print-on-demand (POD) optional
- Integrate with LMS

Developing Your OER Strategy

There are many resources and options for you to develop robust and effective OA course materials. Whether your editorial strategy includes a systematic building of resources or if you are providing services for your institution's members, there are places to start. For example, the video "[How to create OER](#)" can take you through the process.

Start with investigating your institution's policies for textbook affordability. Are there initiatives already in progress on your campus? Who is leading them, and are there formal groups or committees dedicated to OER? Is there administrative funding for the development of OER, or should you initiate a funding proposal to create open texts/OER with your administrators? Has your state legislature engaged in supporting textbook affordability? What are the parameters of these statutes? If your state does not have textbook affordability policies, research those of another state. These people are your allies in creating your OER materials; meeting with them should be a priority as you develop an OER strategy. Are any of your faculty members authors of OA textbooks or course materials? How would you go about conducting a survey of faculty use of OER? Make a list of peer institutions of your campus, either by region or type (e.g., small liberal arts colleges, land-grant institutions, etc.). Do any of your peers have OER programs in place?

Any work on an OER begins with identifying the course you want to focus on. As stated at the beginning of this narrative, here we are focusing on large, multi-section, introductory courses. A willingness among the faculty and department to change to an open textbook is essential. Once you have chosen a course, determine:

- What textbook is presently in use at your institution? Also research the text used at nearby schools.
- What ancillaries come with the textbook, and which of these do the faculty consider necessary?
- Do they want to do something different, such as online-only, video, and/or platform-based learning?
- Do they want a print option?
- How will this change in materials meet contractual obligations of the bookstore around materials required for particular student loans and grants? You should review the bookstore contract for your campus and your school's textbook adoption policies.

Choosing the Type of OER to Create

Modifying an Existing OER

With the previous data in hand, you can now research existing open texts/OER to use as-is or modified by your faculty for their use. Consider starting at [OpenStax](#). Their model is very close to that of the commercial publishers, so faculty will find the publications and their presentation familiar. Is there a text or group of texts that will meet your needs? Other OA text resources include [The Orange Grove](#), [Simmons College](#), [Merlot](#), [Open Access Textbooks](#), [Open Textbook Library](#), and [The LearningOnline Network with CAPA](#).

If the faculty or textbook committee determines that an existing OA text is close to what is presently in use, but not quite right, check the Creative Commons license to determine if it can be adapted for your use. The Open Textbook Network has created [Modifying an Open Textbook: What You Need to Know](#), a guide for modifying an open textbook. There are several other resources available online, such as [“Creating OER and Combining Licenses.”](#)

As you explore the ways OA course materials can be delivered, you’ll discover a challenge: they can be so personalized that only one section or college can use them. This is in-line with a service-focused editorial strategy, where you concentrate on your institution. But if you hope to have uses beyond your campus, as with an editorially driven strategy, you want to explore the competition a bit more.

If you decide to go with modification of an existing OA text, the next step is to identify the author or author team to create the missing parts. These may be as simple as expanding existing lecture notes, or as complicated as creating new content to add to the existing text. Keep in mind, though, you will want to try to get as close to the existing text’s style and presentation to provide continuity for students. A completely different presentation, for example, going from narrative text to all bullet points, confuses students and creates challenges when teaching the materials. Also, don’t forget about any ancillary materials the course may use; these will need to be updated to include the new materials. (See Unit 2 of the Content module, for information on processes and procedures.)

Developing New OER

Perhaps the faculty or textbook committee wants to create a text from scratch. The video [“How to create OER”](#) can take you through the process. (See Unit 3 of the Content module for instructions and information on creating a book-length project.)

If you are creating the OER for a department, you probably already have your author team, but you want to be sure you are creating the proper materials for the course. Multiple-choice open-source homework programs will not work for a math class, and a writing-intensive course will not need a test bank. Be sure you identify all the pieces needed and who will create them. Things to consider include:

- What is the final product to be created, and how will it be used (in class, online, hybrid use)?
- Is the courseware web-based? Will you use XML or HTML for text? Who will design the website? Will it need a log in?
- What is the best format to use? Keep in mind that students will have limited resources and, therefore, limited access to software. Think of the “most common denominator,” not the “newest and coolest” when choosing a format.
- Do you embed imagery or supply this separately?

- If there are to be audio-visual components, who will create them? Will it be you or the author team?
- Will the bookstore need an ISBN and a POD version to serve Pell Grants, students who need accessible texts, or to fulfill a contract?
 - If so, will there be a royalty paid on copies sold, and to whom?
 - Helpful hint: Embedding videos into an eBook or PDF is easy, but what if there is a POD option? One solution may be QR codes, in addition to DOIs, instead of the live links in your eBook.
- Does any part of the work, such as a database, need DRM?
- What type of CC license will you require, and will this be for everything in your portfolio or a book-by-book decision?

Once you have identified a course that could benefit from an OER, plan a meeting with the chair of the textbook committee, the department chair, and/or the undergraduate coordinator. These are the people who could make the project happen and supply you with the author team you need. Together you will want to answer the following questions:

- Will this text serve all sections, or will there be a beta test section?
- Will OER be used in class, online, or both?
- What will be the deadlines, and do they align with your university's policies on text selection?
- Will there be a POD option, and if so, will there be a royalty paid on copies sold, and to whom?
- What ancillaries are needed (e.g., lab manuals, test banks, online homework, teaching guides)?
- Are you or the department paying for the editing, design, hosting, or is there a grant opportunity?
- Will there be peer review, and who will perform this function?
- Will the department supply "camera-ready" files, or will you have to copyedit, typeset, and design the materials?
- What delivery system will you use?
- While the online version can be full color, will you have a color print edition for sale?
- Who is responsible for checking for third-party permissions?
- Is the department able to fund production/hosting, or is there a grant opportunity?
- Will there be a need for future, updated editions?

(See Unit 2 of the Content module for information on POD. Unit 1 of the Policy module has detailed information on rights and permissions.)

A Bit on POD

Why would print be necessary when the download is free? Strangely enough, students often want both print and e-versions of texts. They want their learning to be portable, that is, mobile-ready and on the go, but when it comes to studying for a test or exam, students prefer print over e-versions. Studies show retention is better with print than e-versions. One of the University Press of Florida's best-selling print titles is an OA textbook. Keeping print in mind is essential to a textbook's success.

Hosting and Posting Your OER

The type of resource you choose will help determine how and where you will post the materials. A few things to keep in mind as you determine the best way for the materials to reach the learners:

- Introductory courses will have learners of different economic and high school backgrounds. Unless your institution is providing the appropriate hardware and software to each student, you need to create a product for the lowest common denominator. Some programs demand massive amounts of RAM and memory to run effectively, and some are not hardware agnostic.
- Is your resource usable on a phone? Handheld devices are just one way students engage with courseware and homework, so make sure your product will work on mobile devices.
- Be sure your resource meets minimum accessibility standards for your school and US Department of Education requirements.
- Will all of the components be open? Some institutions will allow a completely open text, but keep the courseware or online course itself behind the firewall. Be sure you understand and can meet the requirements. If behind a paywall, will you use your institution's log-in or your own platform? If your own platform, how will you authenticate users?
- Will you use a library or institutional repository?
- Where will you post this outside your institution? One such place may be: <https://research.cehd.umn.edu/otn/>.
- If your work has a POD option, what are the campus bookstore deadlines and requirements for content delivery?

OER Discovery

Now that the OER is complete and the site is live, how do you get the word out? Will discoverability through harvested repositories be enough, or do you have greater ambitions?

Harvested resources can make life easy for you, but this requires an active search on the part of the professors looking for resources. A common complaint is the lack of standardization for the data that can aid discoverability. These are folks used to Amazon and other such retailers. OERs do not have anything like that, and searching and finding are frustrating. To illustrate this, click [here](#) and see if you can quickly find an introductory biology text for non-majors.

If you are going to help people find your OER, you have to think like a shopper, not a library. First, who are these “people”? The final user is the student, but the decision maker is the professor or faculty committee. How do you reach the decision makers effectively? How can you build a site that will make it easy to find and evaluate your OA materials? What information would *you* want to have at hand? The following surveys contain information on how faculty and students locate OER:

- [2012 Faculty and Administrator Open Educational Resources Survey](#)
- [2016 Student Textbook and Course Materials Survey](#)

Some things to consider for the descriptive pages for individual titles are:

- Include a list of the course numbers on your campus in the data to allow searches by course number instead of title or ISBN.
- Keywords need to be specific.
- Include a full table of contents with subheads so potential adopters can explore the content.
- Include a sample chapter, sample exercises, and sample test questions.
- Include author bios with research and publication histories.

Creating a mailing list of other professors in your state who teach this course may help expand use beyond your home institution. However, they get loads of emails and brochures, and direct mail advertising is considered successful if it results in 2% of the addresses responding, so direct mail may not be the wisest use of your limited resources. Advertising in major journals, or a society program

advertisement, can grab some attention, as can a flyer in a conference grab bag. Before investing in costly promotion, make sure you have a plan for following up.

Campus Outreach for OER

- Target relevant faculty members and departments through
 - email,
 - attending department meetings,
 - getting together for coffee,
 - posters, and/or
 - workshops on OER adoption.
- Target students through
 - displaying POD copies of textbooks on display in the library,
 - ads in campus media, and/or
 - posters.

Final Thoughts

The landscape for OA course materials is more favorable than in years past. However, you may still encounter outright dismissals, persistent nay-sayers, and oddly formed ignorance about OA. Sometimes you may feel the effort is not worth the reward, but it really can be. Surprisingly, the successes come very suddenly and seemingly out of the blue. The University Press of Florida reported that in 2017 their bestselling print product was an OA textbook produced in 2014! So, have patience, practice your pitch around the advantages and savings that can come from OA texts, and keep working on administrators and faculty groups to fund the creation of these materials.

Activity: Adopting OER

Scenario: You are a librarian at a large, public university. The instructor of a new introduction to biology course for non-majors has approached you about creating or using an OER. The instructor has recently become aware of the impact of high textbook costs on their students and wants to avoid assigning an expensive commercial text. Ideally, the instructor wants a resource that has interactive elements built-in and that covers topics in biotechnology. Locate an appropriate textbook and answer the following questions:

- How did you locate this textbook or OER? Describe your search process.
- Did you find multiple suitable possibilities?
- What made you recommend this particular resource?
- Would you recommend adapting this resource or combining it with other OER?
- Can you find a comparable commercial text? How do the two compare?

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Unit 6: Working with Multimodal Content

Why Digital?

Authors might choose a digital platform over print for many reasons. Curiosity or the desire to become more adept at technology is one motivating factor for scholars' migration to digital formats. Political considerations are another factor; many authors want their work to be open-access and available to their peers and a wider audience that is more likely to encounter it online than in print. However, for a work to really make sense in a digital platform, it should benefit from the affordances of multi-modal delivery. The requirement for this kind of multi- or inter-modality is, perhaps, the driving force behind scholarly authors' migration toward digital platforms. Authors of successful digital, multi-modal works have found that data, image, sound, and other forms of information are not just "extras" that enhance the text, but can be integral to advancing their scholarly argument.

What You Will Learn

- Evaluate the suitability of digital media for a scholarly or creative project.
- Balance innovation and sustainability for digital projects.
- Understand the challenges of digital preservation and approaches to archiving multi-modal scholarship.
- Understand the range of file types used in digital scholarly publication.
- Develop replicable workflows for submission, review, production, publication, and support of multimedia projects.
- Set and manage the expectations of authors and other contributors.

When considering the best format for delivery, the publisher should consider whether non-textual elements are supplementary or critical to the argument. In other words, do they serve simply as illustrations or examples, or do they themselves convey the argument through interactivity? Does an image require a reader's ability to zoom in and out or stand beside other images that can be selected and compared? Is the text enhanced by its ability to visually draw connections between it and, say, a map? Does the argument allow for, or even encourage, multilinear navigation? For the digital format to make sense as the publication mode, the project must rely on these kinds of features. Otherwise, the format becomes just a gimmick, or worse, a distraction.

Considerations

Design

Sustainability at the individual multi-modal project level should be a primary consideration at the design stage, the delivery stage, and the archiving stage. While no web content is completely immune to code decay, there are ways to safeguard against the inevitable breakage to at least add time to the life of the project, and the archiving approach should be anticipated at the same time as the project's development.

Open-source platforms, rather than proprietary software, are typically more sustainable because they are supported by a community of developers invested in keeping them updated. These three languages are the basic building blocks of the Web and are the most sustainable tools for design:

- HTML
 - Content and organization
- CSS
 - Styles and format
- JavaScript
 - Interactivity

There is more likely to be decay and breakage any time you use tools beyond HTML, CSS, and JavaScript. Nevertheless, the following are currently popular open-source tools and frameworks for custom coding:

- Ruby on Rails
- Django
- R
- PHP

Avoid pulling in outside dependencies that you cannot control. While it's convenient to connect to other sources through APIs or to link directly to external references, it's more sustainable to use data, libraries, styles, and media that you are able to host along with your project and simply use citations to outside sources. Common dependencies include:

- Map Data (Google Maps, Open Street Maps, etc.)
- Third-Party Video/Audio/Image Hosting Platforms (Vimeo, Soundcloud, etc.)
- JavaScript Libraries
- Fonts (Google Fonts, Font Library, etc.)
- External Links

Delivery

As a publisher, you carry a responsibility to act as steward of your authors' content. Providing the hosting environment is one way you do this. This also means you're assuming the responsibility of maintaining the site that contains the project.

As a library, it's likely your institution already has an infrastructure for hosting web-based content, but if not, you'll need to explore other options. Hosting companies come and go, so it's important to choose one that's well-established but also academically supportive.

If you choose to require (or allow) authors to host their own work, reclaim is a good option as it is academically focused and offers affordable plans for institutions and individual scholars. Doing it this way means you do not have control of the content. This approach should only be considered if you intend for the authors and developers to be able to update, add, and/or remove components. Be sure you know the specs of your server environment so that you can provide guidelines to your authors.

What to know:

- Storage Space
- RAM
- CPU
- Software
- Operating System

When taking on hosting responsibilities, you should consider your plan for maintaining the initial version of the project:

- Will you assign top-level domains or subdomains to each project?

- Will you commit to updating broken or outdated scripts, links, APIs and other code, and for how long?
- What pieces will you update and what pieces will you leave in their original states?
- What will be the parameters for retiring the project? In other words, how far will you allow decay or breakage before you archive the project in, most likely, a completely different format?
- Will you allow authors or developers access to their own project server areas so they can contribute to these kinds of tasks?

Archiving

Web-archiving is one approach to capturing a web-based project, as long as you have the ability to play it back. Also, the more complex the components of the project (even including some JavaScript), the less likely it will all work as intended in a web archive. The Internet Archive’s Wayback Machine is one example of this kind of archiving; another is Web Recorder.

Emulation poses another solution to provide a living archive via long-term access to digital web-based content. It is widely used to resurrect software and electronic games, but is still costly and difficult to build for individual web-projects, which all have different technology stacks.

Guidelines for Authors

To help guide authors toward sustainable design practices, the publisher needs to provide them with recommendations. Stanford University Press has developed a set of recommendations for authors of digital web-based projects for each of the following categories, which might be helpful for constructing your own:

- Archivability
- Documentation
- Labor and Data
- Interoperability
- File Names and Formats
- Links
- Fonts
- Images
- Color

Platforms

Once you’ve determined that a digital format is the best fit for a project, you need a platform. For purposes of this course, we use “platform” to refer to a comprehensive authoring/publishing/delivery interface. These are web-based solutions for developing, as well as delivering your content on the web. While there are a myriad of website builders and applications to choose from, the scholarly community is widely invested in open-source solutions.

Considerations for Platforms

- Open Source
Many scholars working in digital formats value open-source, open-access approaches. Open-source platforms allow authors and developers to customize and contribute to the

framework, and in the spirit of open-source, open-access ensures that these technologies and the information conveyed through them remains part of that open-exchange system.

- **Robust Development Effort**
In addition to being widely available, open-source platforms often are backed by a community of supporters who are invested in keeping the platforms updated. Other younger open-source solutions are developed with organizational grants and, perhaps, subsidized by institutions; both have their advantages. Widely used open-source platforms, like WordPress or Drupal, are used by a lot of commercial organizations and, therefore, may well invest in the support community maintaining those applications. However, grant-funded developments, like Scalar, are appealing because they advance the values of scholars and academics.
- **Expectation of Longevity**
While it can be tempting to make use of new and innovative tools and platforms, decision on technological frameworks should thoroughly consider how long that technology will be supported. In cases of any open-source framework, it's worth exploring how long it has been in operation and how invested the platform's community seem to be in sustaining it before committing to powering your project with it.

Popular Ready-to-Use Open-Source Platforms

All of the platforms discussed below (except for Twine) are Content Management Systems (CMS). CMSs are database-driven systems for organizing large amounts of content on websites. They underlie most modern websites; it is estimated that over 25% of all websites use WordPress alone. CMSs make it easy to author and organize content on the web and are well-suited to multimodal, non-linear scholarship. These platforms are freely available and customizable and can be adapted, expanded, and improved by their users.

- [Scalar](#): An increasingly popular scholarly platform that includes permission layers for authors and reviewers and plug-ins for adding material from outside databases and collections. Scalar offers multi-linear navigation structures, including visualizations and “paths.” The developers are currently testing a built-in copyediting layer to facilitate typical publishing workflows.
- [Jekyll](#): A static website generator that converts text files, including HTML and other code languages, into a website using its built-in scripts. Jekyll powers GitHub Pages and, therefore, works well with that project-management system and can be hosted, along with data files, for free with GitHub.
- [Grav](#): A content management system similar to WordPress, but that relies on a flat-file system rather than a database for its structure. Grav is especially amenable for multi-lingual projects or projects with a potentially diverse language base. Like Jekyll, Grav simplifies the back-end to get rid of unnecessary or unused complex scripts and features.
- [Drupal](#): A database-driven content management system with a large community of developers and a rich selection of plug-ins and modules. Drupal also offers granular user permission and security settings.
- [WordPress](#): A popular content management system with nearly limitless customization options and widespread usership ensuring likely long-term support. Like Drupal and other database-driven CMSs, however, frequent updates will need to be managed on a regular basis throughout the life of the project.

- [Joomla](#): Similar to Drupal and WordPress, Joomla is a database-driven CMS with thousands of extensions developed by the open-source community. Joomla offers many of the same functions as other open-source platforms, including search optimization, responsive design, and customizable user permissions.
- [Omeka](#): A popular collection, or exhibit-building, platform that allows authors to compile and present a variety of multimedia objects and assign metadata to aid discovery and reveal connections between them. Originally developed by George Mason University through grants from the Andrew W. Mellon Foundation, The National Endowment for the Humanities, and others.
- [Neatline](#): An Omeka plugin that synthesizes temporal and geospatial formats and allows incorporation of annotation of new and existing archives to present information and arguments through a “geotemporal” lens.
- [Twine](#): A platform for developing and delivering multi- and non-linear text. Twine has been a popular tool for electronic literature, but its uses have recently extended into other digital and scholarly genres.

Experimental/In-Development Platforms

- [Manifold](#): Used for linear, more traditional “books” that make use of multimedia resources as supplements or examples to the text and offer readers the ability to annotate privately or publicly. Manifold was developed by the University of Minnesota Press under a Mellon grant for scholarly communications and is currently running in beta.
- [Fulcrum](#): A publishing platform for media-rich content currently under development by the University of Michigan Library and Press and partners from Indiana, Minnesota, Northwestern, and Penn State universities, through a grant from the Andrew W. Mellon Foundation. Fulcrum is built around the core principles of flexibility, durability, and discoverability.

In addition to complete platforms, there are also a host of tools available for the individual media elements contained in a multimodal project. The [DIRT](#) directory provides a frequently updated list of tools that can be browsed by functionality, task, or data type. Be sure to read the descriptions of the tools, though, as not all of them are open source.

Custom Coded Platforms

Many centers developing web-based content prefer using custom coded platforms as they develop. In these cases, developers might work with preferred programming languages and frameworks to build something from scratch. These might include Django, Ruby on Rails, or a host of plug-ins for either of these or more. As long as it’s open source, it meets the first requirement of scholarly production, but it’s important to know all the components to determine the project’s long-term sustainability.

Depending on the resources available at your and your authors’ institutions, you might also consider custom coding projects whose needs aren’t fully addressed by the pre-packaged tools outlined previously. Common programming languages for such projects include:

- [HTML/CSS/JavaScript](#): Used for simple to dynamic web projects. These are the three primary tools web developers rely on.
- [Ruby on Rails](#): Used for database-driven web applications that call for the ability of a user/reader to render content from multiple sources within the project.

Technical Support Sustainability

While content and functionality play a major role in choosing a platform, another important factor is whether the technologies being used will last through the inevitable evolution of coding standards and browser updates. This is often framed within conversations of technical support sustainability or preventing obsolescence. Web technologies and standards are constantly updated, so it's important to anticipate how a project will age over time. Historically, some of the simplest structures have also proven to be the most sustainable, and this also relates to the more recent minimal computing and markdown movements. The [first website ever made](#) is still accessible due to its format, which employs basic HTML and a simple file-and-folder system. However, most of the dynamic content and functionality so critical to interactive scholarly work relies on complex combinations of a variety of tools and technologies. SQL databases are structurally fundamental to the functionality of platforms like Scalar and WordPress, and these systems also rely on PHP and JavaScript to generate secure interactive features. With more complex technology stacks come a greater need for a sustainability plan. Will you be responsible for hosting the projects you publish? If so, will you be able to provide long-term support for the projects through script updating or possible migration with changing infrastructures, or will you be able to provide access for the initial developers to make these updates? Who is ultimately responsible for the long-term maintenance of the work you publish?

Regardless of what kind of long-term plan you establish, you can mitigate a significant number of potential challenges by establishing guidelines and recommendations for project authors and developers. Establishing technical parameters early on can help guide early-stage projects toward more manageable final products, and communicating your requirements or recommendations also ensures authors know what to expect in terms of the project's longevity.

An Overview of Existing Digital Publishing Programs

Libraries have long supported, hosted, developed, and maintained digital projects from early static web pages showcasing a few examples of digitized special collections materials to current experiments in virtual reality.

A number of university presses and other scholarly publishers have also recently launched digital publishing ventures. These often differ from library-sponsored digital scholarship programs, as they emphasize a final, peer-reviewed, certified product. Some presses have proceeded cautiously, developing a few digital publications into a broader, traditional publishing program. The university presses at Temple University, the University of Virginia, Duke University, Georgetown University, the University of Chicago, and Yale University, among others, have adopted this strategy. In these instances, existing press staff (often acquisitions editors) collaborate with authors and freelance developers or firms. Authors may have little input on the design of the final product. Many presses adopting a lightweight digital publishing strategy have gravitated to Scalar, which offers a user-friendly interface, and is well-suited to long-form content.

A few presses have adopted a more ambitious approach, establishing standalone digital-first publishing programs and hiring dedicated staff. These programs may also rely heavily on grant funding and other revenue streams to produce highly customized, prestige projects that push the boundaries of digital scholarship and stray further from the norms of traditional long-form publishing. These programs typically collaborate closely with acquisitions or production departments, sometimes gravitating more towards one or the other. A few notable programs that have adopted this approach, among many others, include Stanford University Press, Michigan Publishing, The University of Minnesota Press, The

University of Washington Press, University of British Columbia Press, UCL Press, NYU Press, and Getty Publications.

In addition to developing digital-first publications, some presses and libraries have experimented with creating companion sites and apps for popular, previously published content. Libraries have collaborated with presses to host collections of digitized images or archival material that supplement a scholarly monograph or created digital versions that augment the original text. At Utah State University, for example, an unwieldy manuscript comprising over 1,000 pages spawned the idea for [The Ethics of Suicide Digital Archive](#). Oxford University Press published an abridged version in print and eBook format, while Utah State will host the full text on an OA website. While publishing a 1,000 page book in print and eBook format was financially untenable for the press, a digital version eliminated these pressures. Presses have also experimented with downloadable apps based on new or previously published work. Chicago's [Gems and Jewels](#), Georgetown UP's [Yallah](#), and Yale's [Interaction of Color](#) apps all grew out of previous work in traditional formats. Dartmouth College Press' [Finding Augusta](#) combined a scholarly monograph with a custom-built app that augments and heavily informs the text. Developing an app takes significant financial resources and typically requires working with an outside developer.

Workflow

The key benchmarks of the publication process are the same in multi-modal publishing and in traditional publishing. The difference is in the timing and, to some extent, in the sequencing of those benchmarks. Based on the case study we chose (Stanford University Press' digital publishing program), we will point to some considerations when planning this kind of workflow, but it should be emphasized that a lot of this depends on the specific type of multi-modal publication you choose to publish. A monograph-like publication, which is what we base the outline below on, might require a different process from a teaching resource, a reference tool, or a database.

Proposal

Proposals should, firstly, cover the same ground as traditional proposals, presenting the argument, key contribution to existing scholarship, structure, a proposed date of completion of the project, and the author's CV. Secondly, proposals for multi-modal publications need to make their case for why the publication is presented in this format rather than a traditional one. They also should be accompanied by a prototype to see how the project will be implemented.

Peer Review

Consider that anyone building a project ready for peer review, when using grant-based funding and resources, needs to have sufficient time left in their grant after the review to integrate the feedback. We recommend reviewing the proposal and a prototype in a first round, and then using the same or some of the same reviewers when the project is complete to ensure that no intellectual or factual errors were introduced during development. The second round of reviews should be focused on quality assurance, with the first review being the hurdle to a contract.

Reviewers should be chosen from a pool of experts that can evaluate the intellectual merit of the project foremost. Within that, we recommend that one reviewer is chosen who has some experience with multi-modal projects of their own, and one reviewer is chosen who has not been involved in developing such projects. This strategy ensures that you receive feedback from reviewers with a range of digital literacy levels. Another one or two reviewers should be chosen who have the most familiarity with the technical implementation of the work. The aim is to recruit three or four reviewers from a

spectrum of most-knowledgeable-in-content to most-knowledgeable-in-format since it is still virtually impossible to secure reviewers who could cover both aspects equally well.

Peer reviewers should be given guiding questions that include questions about design and usability. A sample set of questions is included in the course material.

Contract

To accommodate the complex production schedules and high risk in producing a new genre, it is recommended that contracts are offered after the initial approval by peer reviewers, but before the publication has been completed. A second round of reviews ensures the quality of the publication. Issuing a contract at a relatively early stage provides security to authors as well as publishers regarding the amount of work required to develop such a publication.

Contracts for multi-modal publications are closely modeled on existing contract templates. The [Model Publishing Contract](#) developed by Emory and Michigan is a great template to use as a starting point for your negotiations with authors.

Production

The production phase is, perhaps, the phase that differs the most from the process for manuscripts. Because content and form are intellectually linked, both need to be developed simultaneously. There isn't a manuscript that can be fully edited and only then poured into the layout.

Projects will likely require significant developmental editing. The author should receive feedback on content, form, and technology together to be able to address all concerns.

The principles of editorial development are the same as they are in print. The focus is on structuring the work for clarity by identifying the core arguments of the work, arranging them logically, and ensuring consistency. Because a multimodal project is so different in structure from a manuscript, the editor needs to carefully consider why the project is presented as it is. Is the multi-modal presentation reinforcing the argument or distracting from it? Because each publication will have different reasons for making use of this new format, there is no blueprint for the structure.

This editorial work will be performed simultaneously with the technical work focused on improving the sustainability of a publication. Careful project management is required to direct the different strands of feedback. Because different projects will have different strengths, the emphasis and order of the various kinds of feedback (content or technology-focused) will vary.

While this developmental phase will likely be significantly longer and more closely managed by publishing staff, the period between hand-off of the final project by the author to release by the publisher will be much shorter. Once an author has handed off the project as final, the publisher should have to do only one pass to proofread the publication in all aspects.

Marketing

Because of the difference in the production process, marketing efforts need to be planned while the publication is not yet complete. This can create problems for defining the visual representation of the project (the cover) and soliciting blurbs in time for early announcements.

Release

Multi-modal publications are not recognized by established distribution services, which makes the release a question of marketing alone. Your audience will not receive information on a new publication via established distribution channels. Multi-modal publications are often not fed into library catalogs and will not come up in search results at either your home institution or others. This kind of content needs to make it to readers through less conventional methods. If your library has channels for pushing catalog records to OCLC, that is one way to make projects discoverable at other libraries. It's also worth considering how web crawlers like Google or, more importantly, Google Scholar will (or will not) index your projects. Close collaboration with metadata and cataloging groups within libraries present many opportunities. For example, in some cases, libraries are also cataloging digital publications directly into their digital collections and then sharing the records to other library cataloging systems for findability and discoverability.

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Impact Module

About this Module

The Impact Module contains seven units: 1) Trends Affecting Scholarly Publishing, 2) Strategic Planning, 3) Assessment Measures and Strategies, 4) Strategies for Enhancing Discovery and Accessibility, 5) Outreach, Engagement, and Collaboration for Impact, 6) Purposeful Marketing, Promotion, Publicity, and 7) Social Networking for Publishers. These units focus on how library publishers measure and extend the impact of their work. It covers how to identify and apply specific impact measures for publications, how to assess the performance of a publishing program and publication portfolio, and how to build an engagement strategy and evaluate its effects.

Author

John W. Warren, Director, Mason Publishing/George Mason University Press

Unit 1: Trends Affecting Scholarly Publishing

This module focuses on impact, which we define herein as “producing a marked effect or influence on someone or something.” We may aim, through our publishing programs and publications, to increase our impact at our university among faculty, students, and scholars, within local or even global communities, and upon specific fields and communities of practice. Over the course of the next seven units, we will examine strategies for building library publishing programs that align with institutional and library goals. We will learn to design and implement promotional, discovery, and outreach strategies that are appropriate to our content and target audience(s) to ensure that our publications have the greatest possible impact.

What You Will Learn

- Recognize some of the key trends that affect scholarly publishing.
- Consider the impact of these trends on library publishing, book promotion, marketing, and dissemination.
- Identify sources of information for keeping up with trends that affect library publishing.

More than 500 years ago, Gutenberg introduced the printing press to Western Europe, modifying East Asian designs to allow for more rapid printing. A roughly fifty-year transition period (called the “incunabula” stage, from Latin meaning “in the cradle” or “swaddling clothes”) ensued, during which the print book developed into its modern form. That’s not to say there have been no changes in the intervening 500 years; there certainly have. Among other changes, the advent of inexpensive paperbacks in the late 1940s introduced affordable books to the mass market. The implementation of a consignment-based bookselling model during the Great Depression, which persists to this day, means that booksellers can often return unsold stock to the publisher, adding significant costs and uncertainty to the publishing business. The growth of superstores in the late 1980s and early 1990s shifted consumers away from small independent booksellers and paved the way for the massive success of Amazon, which launched as a book marketplace. The pace of change has only accelerated in the digital age. This change can be frightening; it leads to upheavals and uncertainty. However, it also presents exciting opportunities for experimentation, organizational and personal learning, and innovation.

In order to design compelling publishing programs for the 21st century, it is important to understand the broader trends in technology, reader behavior, policy, and business that influence scholarly publishing. This unit introduces a selection of 10 interrelated trends that directly affect library publishing and content promotion. You can likely identify more developments that exert an influence on the field.

Keep in Mind

- What is the potential influence of each trend on library publishing?
- What challenges does each trend present? What opportunities?
- How does each trend influence how publishers reach their readers?
- How are these trends interrelated?
- Can you think of other trends that affect or may affect scholarly publishing or library publishing?

The Changing Role of Libraries

It's difficult to overstate how much the role of libraries has changed in the past two decades, even in the past decade. Libraries have entered the publishing market *en masse* following a general trend in academic (and public) libraries to become more attuned to providing services for users rather than providing access to collections. They have also rededicated space from stacks to technology-rich, collaborative work and study environments. Meanwhile, shrinking budgets, competing priorities, and rising prices for electronic resources (especially e-journals) create financial tensions for libraries and publishers.

Flat or Declining Revenue Streams

Many publishers, including university presses, face an environment of flat or declining revenue (whether from sales or other sources of funding). For many publishers, “flat is the new up” after years of predictable growth. As print sales, in particular, decline, sales of electronic content have not been sufficient to pick up the slack. Harvard University Press, for example, still earns roughly 90 percent of its revenue from print sales.

Many universities (especially public institutions) are facing budget cuts, making it risky for university presses and library publishers to count on institutional support over the long term. Mission-driven publishers, such as university presses and library publishers, increasingly embrace OA publishing models, which must find inventive ways to bring in revenue or “break even” without relying on subscriptions or sales.

Libraries as Publishers

- A 2012 survey of 144 academic libraries found 54% considering or providing publishing services.
- Library-based publishing is defined as “the organized production and dissemination of scholarly works in any format as a service provided by the library.”
- Academic libraries have invested in digital repositories and have pursued models for open scholarship.
- 75% of libraries involved in publishing have published 1-6 journals. The majority are distributed electronically and are less than three-years old.

The Rise of Digital Content Marketplaces

Much of the market for bookselling (and other forms of media consumption) has moved to the internet. Independent bookstores, which faced more than a decade of dramatic decline in numbers from roughly 1993 to 2014, have recently made modest rebounds. Successful independent stores are focused on hosting events, building curated collections, and providing other value-added services rather than merely selling books. As noted above, chain stores have struggled; the once-mighty Borders has closed completely, while Barnes & Noble has shuttered many locations and has reduced bookselling space in others.

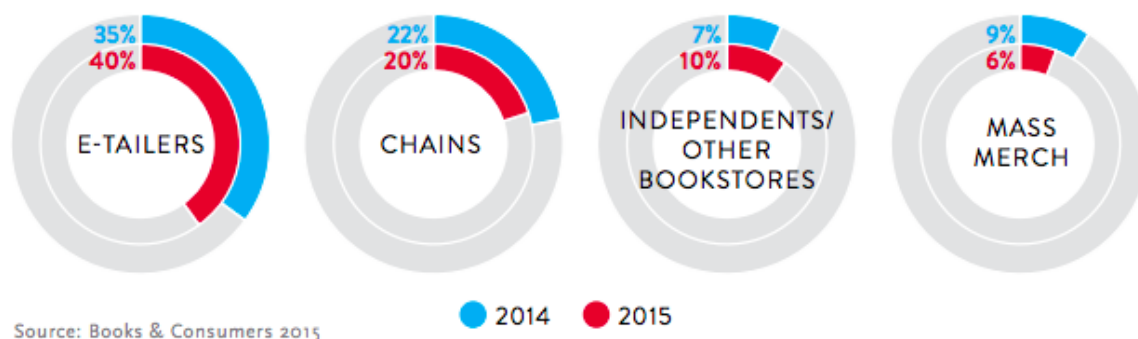


Figure 1.1: The Rise of E-Tailers. A diagram showing the percentage of books sold by e-tailers, bookstore chains, independents/other bookstores, and mass merch in the years 2014 and 2015.

Before the mid-1990s, college and university bookstores sold robust collections of academic books, not just textbooks. This space has largely now been taken over by merchandise such as branded clothing, backpacks, water bottles, and so on. Online booksellers and independent brick and mortar stores increased their market share in both 2014 and 2015, while chains saw a decline of their market share in 2015. Customers prefer the convenience, price, and selection that online marketplaces provide. Much, though not all, of the rise in online bookselling can be attributed to Amazon. Digital businesses also dominate other forms of media consumption. Netflix and Hulu provide access to massive libraries of content that would have previously been sold on DVDs. Spotify, iTunes, and other digital music services allow users to download or stream media, and gamers increasingly turn to online, disc-free services like Steam.

The Surge of Open Access

Less than a decade ago, researchers and students would only have access to a journal if they, or their library, paid for a subscription. As journals moved from print to online, the subscription model stayed in place; in many cases, it became a higher and higher investment for libraries. Publishers that adopt Open Access (OA) models, however, provide free online access to content, including articles, entire journals, books, and monographs. OA models can apply to any form of published, scholarly research or creative output, including articles, books, white papers and other reports, such as theses and dissertations, conference proceedings, data sets, and more.

Beginning around 2011, more than half of all new research was freely available online. A study of European journals from 2006-2013 found that, as of April 2014, more than 50% of the scientific papers published each year between 2007 and 2012 can be downloaded for free. OA models are especially prevalent in science, technology, engineering, and mathematics (STEM) fields.

OA has many nuanced meanings. Varieties of OA include gold (publishing an article in an OA journal, often with a fee involved), green (self-archiving an article in an institutional repository), and hybrid (the journal relies, at least in part, on subscriptions, allowing some articles to be made gold OA when a researcher or their institution pays a fee, often called an article processing fee). Approximately one third of gold OA journals charge an author fee to cover the costs of publishing; these fees can vary considerably. The field further distinguishes between gratis open access (free to read) and libre open access (free to read, reuse, remix). Content creators can specify the level of permissions they grant readers by adding a [Creative Commons](#) license to their publication.

For many years, OA journals (and books) have suffered from a credibility problem. Scholars often perceive them as “second tier” and consider them less significant or rigorous as their subscription/paid counterparts. This is changing, even as concerns remain about the rigor of peer review and the rise of predatory OA journals. On the other hand, studies have demonstrated that OA publications are more widely read and cited. A report produced by the European Commission stated that, on average, OA papers were 40.3% more likely to be cited than non-OA papers (based on a sample size of 209,000 papers).

For university presses exploring OA books and monographs, the road to sustainability may be difficult. Many presses already experience tremendous pressure to break even or come close to breaking even. OA books, which often rely on a combination of voluntary financial support from academic libraries, subventions from author’s host institutions, and some investment from the press, may face a difficult path financially.

Experiments with Open Access Monographs

There has been a proliferation of OA monograph initiatives, including Knowledge Unlatched, Luminos, and Open SUNY Textbooks.

However, many questions remain. Will these programs have long-term sustainability? Will they find support from university administration? Will some fields have an easier route to funding and adoption? What happens when budgets inevitably get cut?

The Growth of Electronic Reading

Many readers have embraced e-reading, lured by improvements to online interfaces and the ubiquity of e-reader devices, smartphones, and tablets. Electronic books have existed since the dawn of the internet. For example, Michael Hart introduced Project Gutenberg in 1971 to make books available to the public at no charge. It was not until the mid- to late-2000s, however, with the advent of the Kindle e-reader followed by the availability of tablets and smartphones, that reading books on electronic devices gained widespread popularity. The rise in electronic journal publishing coincided with libraries’ embrace of the Internet in the mid-1990s. The popularity of eBooks means that many publishers are effectively running two businesses: a legacy print business and a digital start up that caters to modern consumers.

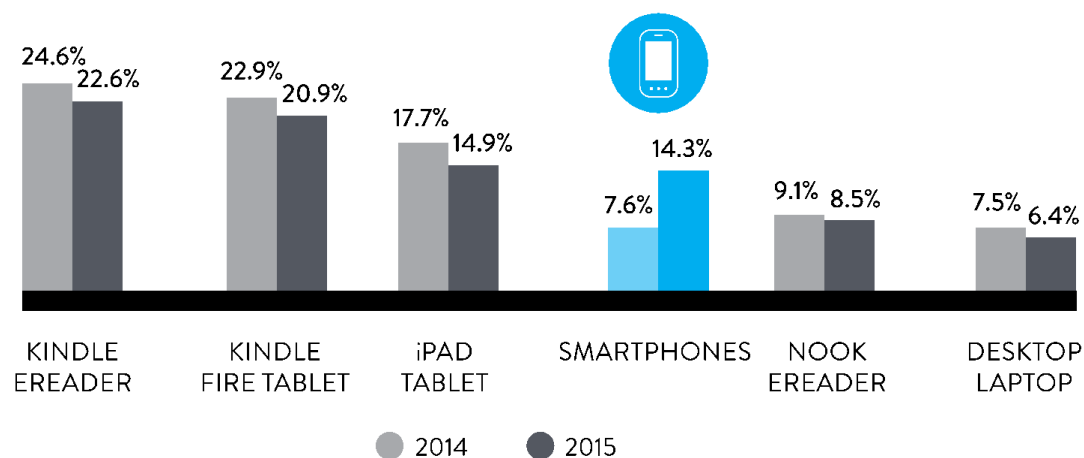


Figure 1.2: Reading on Smartphones on the Rise. A chart showing the percentage of reading on different forms of e-readers, specifically focusing on the steady rise of reading on smartphones.

The past few years have seen a shift to reading on smartphones, at the expense of dedicated e-readers and tablets. Smartphone use for e-reading is especially pronounced in developing countries, where dedicated e-reading devices have not had as much market penetration, and where many households do not own computers. However, eBook sales have peaked at about 20% of the market, although this varies considerably by genre. Between 60-80% of romance titles are sold in electronic format, while eBooks also have higher-than-average market share for science fiction, fantasy, and fan fiction titles. Academic books see lower-than-average sales in electronic formats.

The Expansion of Self-Publishing

The advent of desktop publishing, which began in the mid-1980s with the emergence of personal computers, laser printers, and desktop publishing, not only transformed the way publishers conduct their work, but opened new opportunities for anyone of like mind to publish. The growth of the Internet and online bookselling has led to explosive growth in self-published content.

The number of self-published book titles is rapidly approaching nearly a million per year, as measured by new ISBN numbers. However, Amazon's CreateSpace self-publishing platform does not issue ISBN numbers for eBooks, so this number underestimates the true volume of self-published book titles. The number of "non-traditional" books, such as new editions of out-of-copyright works or collected volumes of Wikipedia entries or blog posts, further inflates this number.

Some self-published books have been highly successful, even reaching the New York Times bestseller list. Andy Weir, author of *The Martian*, first posted his meticulously researched novel on his website. Visitors soon requested a Kindle version, which he created and initially sold for 99¢ (the lowest price allowable at the time). He later raised the price to \$2.99 and sold hundreds of thousands of copies. In March 2013, he signed a publishing agreement with Random House, retaining for himself electronic publishing rights. He then sold the movie rights the same month, leading to a popular film directed by Ridley Scott and starring Matt Damon.

Self-publishing has yet to make significant inroads in scholarly publishing, likely because peer review is such a key part of vetting the quality and significance of scholarly research, and due to the prestige conferred by publishing with a university press or other scholarly publisher. This could change in the future as scholars seek out options for publishing works-in-progress, less significant findings, work with significance or appeal to a mass audience, and work that traditional publishers can't or won't accommodate, such as interactive websites, multimedia projects, data, or software.

Changes in Content Discovery

In the past, readers typically discovered books through the serendipitous process of browsing through a good bookstore or public library. Researchers and specialists discovered academic books at conferences, as well as in large, academic bookstores, and in the extensive stacks of their campus libraries. Readers often purchased books that they didn't even know existed and were not deliberately searching for. This is nearly a thing of the past, especially in some areas where bookstores have all but disappeared. As online bookselling has increased, consumers often already know what they're looking for. With the emergence of suggestion algorithms ("if you liked X, try Y"), book discovery has changed and continues to change. Book review sections have disappeared in major newspapers, such as the Los Angeles Times and the Washington Post, or have grown smaller, such as in the New York Times. Discovery of scholarly research articles has likewise evolved over the past decade. Academic journals have gone online and often do not include advertisements.

Historically, book review sections in newspapers were the major literary tastemakers. Now, readers increasingly discover new books on blogs, dedicated websites like Goodreads, and the recommendation algorithms supplied by online booksellers, which suggest titles targeted specifically to each reader. Blogs large (Huffington Post) and small (Book Riot) have become influencers. Other key drivers of book discovery include the reader's prior familiarity with an author or book series, in-store book displays, and recommendations from friends and relatives.

Content-discovery databases all have their limitations; none are fully comprehensive and have gaps, which are especially notable in smaller publishers and titles in foreign languages. Scholars frequently rely on both Google and Amazon for content discovery, although both are limited in how useful they are in notifying users about titles of which they might not be aware. Although many scholars (especially students) gravitate to Google to discover research, libraries continue to improve their search and discovery systems. They have paid particular attention to providing federated search systems that facilitate the searching across the library's subscription databases, print holdings, and other collections.

The Pervasiveness of Social Media

Online social networks have existed since the dawn of the Internet, but only in the past decade or so have they become part of daily life for billions of people worldwide. The number of social media users worldwide more than doubled from just under 1 billion in 2010 to 2.5 billion in 2017, and it is expected to grow to 3 billion in 2021.

The most popular social media platforms include Facebook, Instagram, Pinterest, LinkedIn, and Twitter. Nearly 80% of adults in the United States use Facebook, and many social media users utilize multiple platforms. Daily usage is common on many platforms, including 76% of Facebook users and 51% of Instagram users. Social strategies (strengthening relationships or building new ones) and social networking (broadcasting messages and seeking customer feedback) are two distinct practices.

The Centrality of Metadata

Perhaps no change in publishing has been as dramatic in the past two decades as the rise of metadata. The use of metadata ("data about data") to organize books has been in practice since monastic libraries began creating title lists of their illuminated manuscripts, though the term wasn't coined until the late 1960s to describe concepts in computer programming. Today, metadata is integral to the entire publishing ecosystem.

The proper creation, maintenance, and dissemination of metadata helps to ensure that content is deliverable to and discoverable by readers through a variety of platforms. All publishing professionals will benefit from having an understanding of common metadata standards and their application. Metadata should be interoperable, meaning it can be translated across systems to facilitate links between producers, distributors, and users of content, and an ever-broader network of objects and resources.

Despite the best attempts at "clean" and robust metadata, vendors get metadata from many sources, some of which have inaccurate or messy data. Metadata increasingly connects the data-rich aspects of social science, provides more highly targeted search results, improves the learning effectiveness of digital textbooks, and identifies areas in which publishers can create more of an impact. (Metadata will be discussed in more depth in Unit 4 of the Impact Module.)

Competition for Reader Attention

Library publishing and university press publishing are highly collegial, collaborative environments where a traditional sense of “competition” is largely absent. Nevertheless, we must all realize that as publishers and content creators/disseminators, we are all competing for the reader’s attention amidst a wealth of social media, gaming, streaming content, and other media.

Roughly two-thirds of Americans (65%) read at least one book in 2016, according to a Pew Research Center survey, and just under a third (28%) read an eBook. About 40% of Americans exclusively read print books exclusively, while only 6% exclusively read digital books. Adults are increasingly likely to read for the purpose of researching specific topics of interest, followed closely by keeping up on current events, reading for pleasure, and reading for school or for work.

Researchers and specialists are moving toward consuming and producing shorter-form content. As we increasingly absorb information in small, manageable bites, the 500+ page monograph is gradually becoming a thing of the past. On social media, “tl;dr” (too long; didn’t read) is a common abbreviation. Some people won’t engage with content beyond 140 characters.

The Changing Definitions of Scholarship and Publishing

The very nature of scholarly output, which has long been dominated by books and journal articles, is changing as new forms of digital scholarship emerge. Publishers are responding with innovative approaches to creating and presenting content.

Multiple discovery pathways and delivery formats serve the needs of different readers. Interactivity, hyperlinking, audio and video, multimedia, gaming, auto-assessment and artificial intelligence, and other enhancements are beginning to change what a “book” means and represents.

Micro-content (“chunking”) is increasingly pervasive as scholars and other readers want to find and consume information instantly on any device and in shorter forms.

Conclusion

Scholarly publishing is undergoing a period of rapid change, turmoil, and reinvention. These changes have resulted in an uncertain climate, yet relatively few presses are closing and publishing in academic libraries is on the rise. Academic institutions continue to see the value in supporting a press and most, if not all, presses do a fair job of breaking even or generating a modest surplus. As we consider these changes in scholarly publishing, we have to continually ask ourselves:

- What is our organization’s (library and university) vision/mission?
- What are our stakeholders’ (administration, staff, partners, funders, audience, etc.) interests, concerns, and expectations?
- What is the role of OA versus commercial sales and the pursuit of revenue/profit vs. social good?
- What opportunities exist for growth and innovation?
- How can we add value, and what contributions do we want to make to the world?

Several principles help drive innovation and creativity in a start-up or established organization. These include fostering an attitude of openness, seeking diversity, being open to criticism, not being afraid to make mistakes, looking for ideas everywhere, identifying hidden talents among staff, and instilling a drive to keep growing and learning. “Experiment with intent” means it’s important to experiment and

try new things, but have a reason for it, such as what you can learn from the experience, even if the results don't turn out as well as you hope. Assign important projects to staff, establish stretch goals, deliver feedback that is relevant, review the results, debrief staff, and articulate the business or social implications; this approach takes lessons from agile software development. Our quest as publishers is to redefine what it means to be a scholarly publisher, to find new ways to tell stories and connect with readers, and to make an impact with meaningful content.

Activity: The Influence of Trends

Form a group of 3-4 people and discuss the following questions:

- What is the influence of each trend on library publishing?
- What is the influence of each trend on how publishers achieve and evaluate impact?
- What challenges does this trend present for library publishers?
- What opportunities does it enable?
- How are these trends interrelated?
- Can you think of other trends that affect or may affect scholarly publishing or library publishing?

Activity: Trend Forecasting

- Write down an activity or hobby that you engage in.
- List all the ways you get information about it. Underline the top three sources you use to watch trends or learn what's new in your hobby.
- With a partner or small group:
 - Describe the top three sources you identified.
 - How and why do you use each one?
- List additional sources for trend watching that are specific to library publishers. Which of these sources do you already follow?
- Think about our working definition of impact. How can you use media to distinguish between important and impactful trends and passing fads?

Activity: Conducting a SWOT Analysis

- **Strengths:** Existing internal factors that contribute to success. For a publishing organization, these might include staff skills, extant resources, name recognition or prestige, robust sales figures, etc.
- **Weaknesses:** Existing internal factors that undermine the effectiveness of the organization. For a publishing organization, these might include a lack of needed skills, resources, or prestige, interpersonal conflicts or disagreements, and/or the lack of a strategic vision.
- **Opportunities:** Existing external circumstances that present an opening to advance a cause. For a publishing organization, these might include faculty dissatisfaction with traditional publishers or the emergence of a new source of funding.
- **Threats:** Existing external circumstances that exert pressure on the organization's goals. For a publishing organization, these might include a declining or flat institutional subsidy for publishing activities, the growing popularity of disintermediated self-publishing, or competition from other publishers for reader attention.

Think of strengths and weaknesses in terms of the *internal* resources of an organization. For example, one weakness of a new library publishing program is that it has limited capacity due to a small staff size and budget. On the other hand, its small size and newness make it nimbler than a more established publisher, presenting an opportunity to carve out a unique role.

Think of opportunities and threats in terms of the *external* forces at work. For example, the emergence of Amazon as the dominant bookseller threatens the existence of small publishers by driving down book prices. On the other hand, it offers an opportunity for small publishers to reach a broader audience by providing one of the most comprehensive and robust discovery interfaces.

Discussion: Form a group of 3-4 people and discuss the following questions:

- What does the SWOT matrix tell us about the state of our organization?
- What actions can we take to leverage our organization's strengths?
- What actions can we take to manage our organization's weaknesses?
- What does the SWOT matrix tell us about the external environment in which we are working to achieve our goals today?
- What actions can we take in response to the opportunities we identified? How is our response affected by our strengths and weaknesses?
- What actions can we take to mitigate threats to our organization? How is our response affected by our strengths and weaknesses?
- How did the results of the SWOT analysis differ between groups?

Activity: Publishing Alternatives

In groups of 3-4 people, consider the following questions.

- How would you advise an author?
- What publishing model do you consider most likely to ensure the highest impact for the author's work? What factors might influence the work's potential impact?
- What are some of the pros and cons of each option, especially in terms of the potential impact of the project?
- What additional information would you need to know?

Write a short memo in response to the author, detailing your recommendations and your proposed actions, if any, including next steps. Focus on impact. You may make any assumptions you wish about your institutional context and resources, but make these explicit in your justification.

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Unit 2: Strategic Planning

This unit focuses on strategic planning for the purpose of maximizing the impact and value of publishing programs. We will develop or refine goals in alignment with wider organizational objectives, and we will learn to prioritize these goals. Other units in the course will provide strategies and tactics for outreach, engagement, discovery, promotion, and publicity that will align with the strategic goals we develop here.

Ultimately, we seek to increase and measure the impact of our publishing programs not only to demonstrate the value our programs add to the library, the university, and the wider community, but to ensure that our portfolios and publications are meaningful and contribute to the advancement of scholarship.

What You Will Learn

- Understand and internalize organizational objectives.
- Align publishing goals with the strategic priorities of their college or university and their library.
- Develop measurable, actionable goals and priorities designed to increase impact.

What is “Impact”?

Impact can be defined in a myriad of ways. For the purposes of this module, we define impact broadly as “producing a marked effect or influence on someone or something.” We may aspire to increase our impact at our university, among faculty, students and scholars, within local or even global communities, and upon specific fields and communities of practice.

Since publishing programs and other organizations seek to have an impact on targeted audiences and communities, we also seek to measure our success in this area. Thus, this module will emphasize ways to measure, quantify, and broadcast impact. Deciding what type of impact we hope to have (our mission), translating this into goals, determining how we will know that we have met these goals and what constitutes success, implementing specific strategies to achieve these goals, and evaluating our progress, is part of a continuous loop of feedback and action.

If a person reads one of our publications and that publication changes their life, that certainly has an impact on that person and, possibly, on their community and the world. However, this type of impact will probably be difficult to measure and quantify. Perhaps the person will contact you and say how the publication impacted their life, but that’s not very likely. Measurable impact will include metrics, such as number of publications published, dissemination (sales, downloads, accesses), geographic and demographic factors of usage, and so on.

Organizational Objectives

Our first step is to understand and internalize organizational objectives. What are the themes of your university’s (or organization’s) strategic plan? Which of these themes have direct, or indirect, relevance to your publishing program? How can you articulate goals aligned with the organization’s strategic plan that are achievable and measurable? University and library strategic plans should not be the only source of inspiration for your strategic planning goals. They can be income biased, overly general, or out of alignment with your values as a publisher.

Most universities post their strategic plan or planning documents on the university website. In some cases, these plans may only be available on an internal, password-protected site. (If the strategic plan of your institution or library is unavailable, consult the “Readings” section for examples.)

Specific Plans and Objectives

While considering your institution’s strategic plan, you should ask yourself the following questions:

- What strategic goals does your university/organization hope to achieve?
 - Examples may include promoting student retention, expanding research opportunities, increasing innovation, developing new funding streams, increasing revenue/profitability, contributing to social good, increasing diversity, etc.
- How can you align your publishing goals with organizational objectives in ways that will maximize the impact of your publishing program or products?
- What is the basic need(s) you are trying to address?
- What is the desired outcome(s)?
- Is the effort(s) aligned with the organization’s strategy?
- What are the internal and external constraints on implementing these goals?

For example, George Mason University’s Strategic Plan identifies the following goals:

Goals for Students

1) Innovative Learning: Deliver a transformative signature Mason Learning Experience that is experiential, global, and technology-rich.

2) Accessible Pathways: Provide multiple pathways and delivery formats to serve the needs of different students.

3) Return on Investment: Enable all graduates to pursue meaningful lives and successful careers.

Goals for the Community

4) 100,000 Career-Ready Graduates: Produce the talent needed to drive economic growth in our region over the next decade.

5) Innovation Engine: Contribute to the economic vitality of the region by driving innovation and creating learning partnerships with private and public organizations.

6) Community Builder: Contribute to the cultural vitality of our community through regional partnerships and commitments to the arts, athletics, and community engagement.

Goals for the Faculty and Staff

7) Well-being: Become a model well-being university that allows all of its members to thrive.

8) Diverse Academic Community: Create an inclusive and diverse academic community that reflects the diversity of the National Capital Region.

9) Support Teaching and Scholarship Excellence: Provide an environment and resources to support and encourage academic innovation and excellence.

Goals for the World

10) Elevate Research: Expand research and enhance standards of scholarship across disciplines.

11) Research of Consequence: Strategically focus on multidisciplinary domains of great societal and economic consequence where we can make a difference.

12) Global Learning Platform: Create partnerships and other arrangements to support student and faculty mobility and collaboration.

Publishing Models

A well-developed library publishing program and/or university press will have its own strategic plan and objectives, aligned with both the university's and library's goals. Here, we will discuss two possible models, although several different publishing models are possible and significant variation occurs between publishing programs.

One model we'll discuss is a library publishing program, which is based in the library and focused, generally, on providing publishing services to the university community, faculty, and students, as well as to the broader community.

The other model is a university press reporting to the university library. Note, however, that university presses can vary considerably in their reporting relationships. Some presses report to the library and may be housed there or in another location. Others report to the provost or to another department or school of the university. Strategic alignment may vary in these cases, but for the purposes of this unit and module, we will assume that the university press is under the auspices of the university library.

Library Publishing Program

Some possible strategic priorities of a library publishing program may include:

- Contribute to and align with overall mission/strengths of the university
- Collaborate with university's departments and centers
- Increase digital dissemination and/or digital innovation
- Develop new or alternative funding opportunities (i.e. grants, subventions, new markets)
- Assist faculty in publishing open educational resources (OERs)
- Increase engagement with the institutional repository by faculty and students
- Promote the production of open access scholarship by faculty and students

University Press

Some possible strategic priorities of a university press may include:

- Contribute to and align with overall mission/strengths of the university
- Reinforce reputation of press to attract highly respected scholars and subject experts
- Increase sales revenue (i.e. sales in trade or academic markets)
- Impact research, pedagogy, and/or public debate
- Collaborate with university's departments and centers
- Increase digital dissemination and/or digital innovation
- Contribute to the bottom line
- Increase surplus
- Increase international sales and impact global scholarship

Note that there is significant overlap and these goals are provided as examples only. It's also worth noting that in many cases, some, but not all, of the library publishing program and/or university presses objectives may be part of the university library's strategic plan, but it is also likely that the publishing program/press will have goals and objectives that are not written into the library plan. This is because no strategic plan will cover everything you need to achieve and because the library will have priorities that are well outside of publishing.

Stretch and SMART Goals

In our analysis, we first aim to determine how each of our strategic priorities align with the university's and/or university library's strategic goals. This makes our goals and objectives intentional. Specific objectives should be realistic, actionable, and measurable. One method to ensure goals are clear and reachable that has been proven effective on an organizational level, as well as for individuals, is to develop a ["Stretch Goal"](#) combined with specific, measurable, achievable, relevant, and time-bound (SMART) goals (Duhigg, C., 2017). The stretch goal describes an important, overall objective, while the SMART goals break this objective into manageable, actionable tasks.

To use one example stated prior, "Assist faculty in publishing open educational resources (OERs)," the stretch goal might be:

- Develop a vibrant OER program that significantly reduces student textbook costs, which aligns with the second and ninth University Strategic Plan goals.

We can then break down our stretch goal into concrete sub-goals that will help us achieve our stretch goal. We can use the SMART system to ensure that these goals are realistic and actionable. For example, our first goal might be:

- Publish at least one OER by the end of the next fiscal year, focusing on providing alternative course materials for high-enrollment courses.

We can then measure this goal against our SMART guidelines:

- Is this goal **specific**? Does this goal provide the necessary specificity (without going too far into the weeds), in that it provides guidelines about the quantity and type of projects we will undertake and in what timeframe?
- Is this goal **measurable**? Can we measure our success, in that the goal specifies the number of projects we intend to publish and for what audience? Did we publish as many OERs as we set out to? Did we publish OERs that could be adopted by high-enrollment courses?
- Is this goal **achievable** (or actionable)? Is this goal actionable, in that it explicitly states the action our program will take, such as publishing three to four OER projects? It is achievable, assuming we have made sure we have the resources required?
- Is this goal **relevant**, in that it furthers our progress towards our stretch goal and aligns with the university and library strategic priorities?
- Is this goal **time-bound**? Does this goal state a specific deadline, such as the end of the next fiscal year?

It's important to keep in mind that our strategic goals need to be revisited, and possibly modified, on a regular basis, as new resources, situations, opportunities, and obstacles may emerge.

Each project (books, journals, open educational resources, etc.) that the library publishing program considers taking on, whether it is proposed by an author, discovered through outreach strategies, or

sought by editorial staff at the university press, can and should be measured against organizational objectives.

Activity: Aligning Publishing Goals with Institutional Priorities

Select one university's strategic plan and its library corollary and answer the following questions:

- Identify the goals or strategic priorities stated in the college's or university's strategic plan. Are they measurable? If so, does the plan explicitly identify specific measures/metrics?
- Identify the goals or strategic priorities stated in the library's strategic plan. Are they measurable? If so, does the plan explicitly identify specific measures/metrics?
- How do the goals of each strategic plan compare? Which overlap and which are different?
- Which goals have direct relevance to a publishing program. Which goals may have indirect relevance? Why?

Select three goals from either the library or university strategic plan and do the following:

- For each organizational goal you selected, write a related goal for your library publishing program as we demonstrated with the example of the OER program.
- How will you measure each goal (how will you know if you have achieved them)? List at least one metric for success for each goal.
- Make sure to apply the SMART goals framework and focus on goals that will extend your impact, broadly defined.

Activity: Creating a Book Review Podcast

Your team at the New York Times has been assigned the task of creating a "Book Review Podcast." Keeping in mind the goals and strategies identified in the report you just read, develop a brief proposal for the podcast, including elements such as:

- title
- contributors
- target audience
- focus (e.g., genres)
- formats (e.g., author interviews, guest reviewers, recorded book excerpts)
- frequency
- outreach strategies (how will you grow your listeners?)
- assessment strategies (how will you know you have reached your listeners and continue to engage them?)

Prioritizing

The prioritization matrix—a tool used in [Six Sigma](#)'s continuous improvement efforts, typically by information technology (IT) units that need to prioritize various IT projects across an organization—is helpful for aligning projects to objectives. Considering that resources are usually limited, this tool can help you to decide which projects to pursue, what order to prioritize projects, and/or which projects get a higher amount of investment (labor, funds, etc.).

One of the advantages of the prioritization matrix tool, especially when utilized in team planning situations, is that it helps focus on important actions, such as those with the most potential for impact. This tool quickly surfaces basic disagreements so they may be resolved up front and limits "hidden

agendas” by using objective criteria as a necessary part of the process. The criteria to be used and their meanings, however, must have the consensus of the team, or the strategic planning process is likely to fail.

Most importantly, do not develop a strategic plan and file it away. As discussed above, plans and projects must be revisited on a quarterly, if not monthly, basis. Develop a regular schedule to review and revisit strategic plans, objectives, and projects with your team.

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Unit 3: Assessment Measures and Strategies

This unit focuses on different measures used to assess the impact of publishing programs and individual publications. We will examine traditional impact methods, such as citations, as well as alternative methods, such as altmetrics. To begin, we'll look at extending and measuring the impact of publishing programs or portfolios. Next, we will turn to measuring the impact of individual publications. For this unit, we will define "assessment" broadly as "the systematic collection and analysis of information to improve decision-making." This definition encompasses different organizational, program, project, and product assessment strategies.

What You Will Learn

- Identify and describe a range of available assessment and impact measures.
- Recognize merits and weaknesses of different assessment and impact measures.
- Select and apply relevant measures to evaluate a specific publishing program, platform, or individual publication.
- Assess the performance, strengths, and weaknesses of a library publishing program and publication portfolio.

Determining What Matters

In Unit 2, we discussed how to develop and express strategic goals, priorities, and objectives with impact in mind. The first step, which requires considerable thought, is deciding what matters, what is important, and how it will be measured. The assessment process should provide information on whether outcomes are being achieved and how programs can be improved. Ideally, this results in a continual feedback loop of setting goals, determining objectives, implementation, assessment, and improvement.

What Matters?

How do you know what to assess? Tie assessment to your strategic priorities and goals.

Crafting measurable goals allows us to determine in advance how we will know whether we are making progress towards them and indicates areas for improvement. In Unit 2, we also discussed creating "stretch goals" combined with SMART goals that are specific, measurable, achievable, relevant, and time bound. Again, the stretch goal describes an important, overall objective, while the SMART goals break this objective into manageable, actionable tasks.

There are some "traps" that we want to avoid, however. Avoid forming objectives just because they can be measured, even as the true value to the organization is uncertain. An example of this might be "offer 10 workshops per semester." If the workshop content is not of value to your stakeholders, the mere number of workshops given will not provide value to the organization. Take heed of spending more time on measurement and collecting data and metrics than the objective warrants. Also, beware of "garbage in, garbage out"; collecting data and metrics that are not meaningful (or accurate) will inevitably lead to flawed analysis and decision-making. Data and other metrics should be gathered, analyzed, and presented in relation to identified goals and objectives.

Throughout this unit, remember not to lose sight of what it is you consider success. The definition of success will vary, but it should always be based on the program’s mission, vision, and goals or the goals and objectives of a specific project. Of course, surprises may occur, where success is achieved and impact is made in areas that were not originally considered. However, this is a happy circumstance that, nevertheless, usually arises from careful planning and not happenstance, nor should this displace original program or project goals. Adaptation and re-evaluation are important, but articulation of mission, vision, and goals—and how these will be measured—is the foundation.

Focus on Impact

Throughout this module on impact, we will be discussing ways to extend the impact of our organization and of individual publishing products. These can be broadly categorized as:

- Strategies and tactics for building visibility and increasing engagement with the community, including conferences and events.
- Marketing and promotion, publicity and media outreach, and social media strategies.
- Increasing discoverability, including the effective use of metadata including ONIX, working with indexers and aggregators, and discovery engines.
- Increasing accessibility, including web accessibility, universal design, user experience (UX), and learning design.

These strategies for extending impact should, likewise, have goals that are measurable, relevant, and realistic.

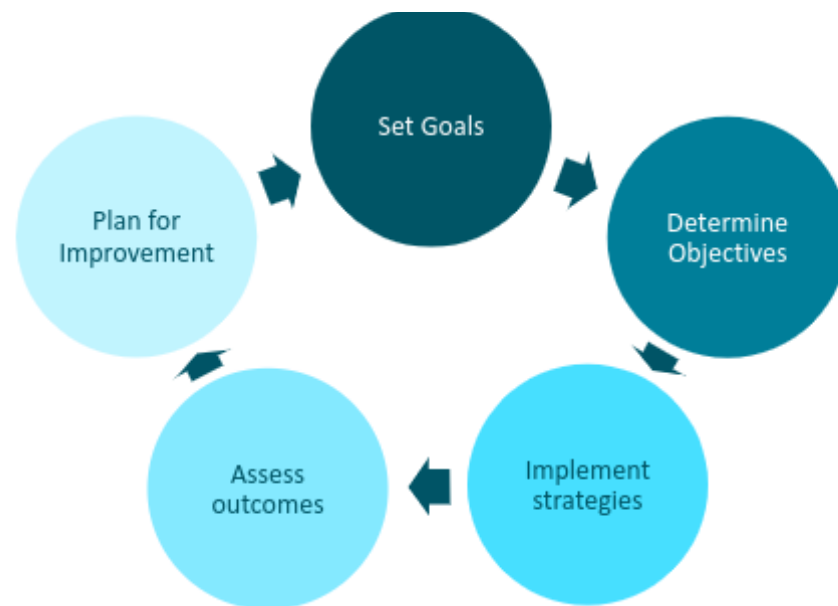


Figure 3.1: The Impact Loop. A circling diagram that shows the endless cycle associated with making an impact.

Using the prioritization matrix (discussed in Unit 2), we can include organizational goals on the top (x) quadrant, and outreach, marketing, and other strategies to extend impact of our publishing portfolios on the left (y) quadrant (see Figure 3.2). By weighting the organizational goals and ranking the strategies designed to extend impact, we can attempt to quantify the expected impact on each of our strategic goals and determine which strategies are most likely to have an impact on the organization.

Process: Marketing Prioritization		Ranking Scale: 1 - Lowest, 10 - highest									
Date:											
		1	2	3	4	5	6	7	8	9	10
		Support Academic Mission	Increase Faculty / Student Journals	Develop OERs	Collaboration Potential	Digital Dissemination / Innovation	Institutional Repository	New Funding Opportunities			
Weight		9	8	8	7	7	7	7			
Marketing/Promotion Activity	Project impacted										
1 Web page and Twitter posts on OER development	IT textbook; PR handbook; Chem handbook; others	8	0	8	7	7	7	4			311
2 Journal issue celebration	Journal of Homeland Security; Journal of Digital Rhetoric	8	7	0	5	3	5	4			247
3 Publication launch event	Intro to Research Methods	8	0	3	5	7	5	3			236
4 Publication launch event	WWI letters/memoir (community member)	3	0	3	3	4	5	7			184

Figure 3.2: Midwest State University Library Scholarly Publishing Services Marketing and Promotion Prioritization Matrix. An example of a prioritization matrix that weighs organizational goals and impact strategies.

Assessing Programs

As discussed previously, we need to consider how we define success before we can begin to attempt to assess a publishing program (or any organization). Success derives from the articulation of a program's mission, vision, and goals. Assessment comes to bear in demonstrating that you have achieved what you set out to do.

There are many tools and methods that can be used to assess a program, department, or organization. As discussed above, a key part of any assessment method is knowing, in advance, what you plan to assess. By carefully crafting goals and objectives, as we learned in Unit 2, the assessment follows by determining whether, and which, measurable goals have been reached. How will you assess success of these goals? Who will do the capture of the required data, and how will you evaluate it and share it with key stakeholders?

As discussed in "[Program-Based Review and Assessment: Tools and Techniques for Program Improvement](#)" (Office of Academic Planning & Assessment, University of Massachusetts Amherst—citing assessment plans at California State University, Chico, and Ball State University), effective program assessment is:

- **Systematic:** Orderly, organized, ongoing, and cumulative.
- **Mission-driven:** Informed by the mission, goals, and objectives of the organization.
- **Multi-faceted:** Considerate of multiple dimensions and based on multiple data collection methods and sources.
- **Pragmatic:** Oriented towards realistic, actionable outcomes.
- **Participatory:** Designed and implemented throughout the entire department or organization, not imposed from the top down.

Although designed for assessing student learning, the program assessment guide provides a checklist of steps applicable for a wide variety of programs, including, of course, library publishing programs:

- Agree on your mission.
- Create goals for outcomes and processes.
- Identify related activities for each goal.

- Brainstorm appropriate measures.
- Evaluate and select measures.
- Identify appropriate assessment methods.
- Develop a plan for collecting data.
- Prioritize goals.
- Set timeline and milestones.
- Implement assessment plan.
- Use data to improve processes.
- Communicate results.

Benchmarking

One possible component of program assessment is benchmarking, or comparing, your institution with a similar organization using a predetermined set of metrics or criteria. For example, a pair of similar-sized library publishing programs, or a group of publishing programs in a certain region or niche, might agree to share metrics on publication numbers, download counts, sales or subscription figures, staff numbers, or a variety of other measures. This exercise can help programs identify their relative strengths and weaknesses, plan for future improvements, and make the case for resources from their parent institution.

Benchmarking can be done with publicly available data, such as metrics collected and made available publicly or to members by an association, such as the Association of University Presses (formerly AAUP) or the Library Publishing Coalition. It can be even more beneficial when a group of affiliated or like-minded institutions agree to share more detailed, comprehensive data on metrics considered important and relevant to those institutions. For example, a group of publishing units at large, private research institutes (“think-tanks”) agree to share common data over many years on a wide variety of production, output, and outreach metrics to improve decision-making at each partner’s programs. A program can also productively benchmark against itself by comparing metrics over multiple years or across different units, or with the implementation of different workflows.

Impact Metrics for Publications

- Citation metrics (e.g., Impact Factor), and citation analysis tools (e.g., Web of Science, Scopus, and Google Scholar)
- Author-level metrics (e.g., H-Index)
- Sales/revenue
- Web analytics (e.g., downloads, page views)
- Altmetrics (e.g., Altmetric.com, PlumX, ImpactStory)
- Published reviews
- Artificial intelligence
- Goodreads captures
- Library holdings
- Book reviews
- Amazon reviews

Six Sigma

Benchmarking is just one tool that publishing organizations can use to assess their activities. Program assessment is an ongoing process that should involve a variety of diverse methods and be embedded

into the organization's routine. One framework for this process of continual improvement is the Six Sigma framework for improving organizational efficiency. Going through Six Sigma's five phases for process improvement (define, measure, analyze, improve, and control) can help an organization become more efficient, productive, and strategic. The Six Sigma framework can be useful for benchmarking, service improvement, and other assessment processes. Libraries have productively used Six Sigma to improve customer service interactions, purchasing and inventory workflows, and the use of self-checkout kiosks, among other objectives. Six Sigma breaks down the product-improvement process into five discrete stages:

- **Define:** Identify the problem you want to address and define your goals. What does success look like? How will you measure your progress?
- **Measure:** Collect quantitative and qualitative data that illustrate your current process.
- **Analyze:** Draw meaning from your data. What implications does your data have for improving your process or outcomes?
- **Improve:** Make concrete changes, informed by the analysis phase, that address key problems with your process.
- **Control:** Implement a system of accountability and monitoring that helps ensure changes remain in effect.

Engaging in this process can help organizations better understand their problems and implement data-driven solutions rather than relying on anecdote or theory. For example, the Newcastle University Library wanted to increase usage of newly installed self-service checkout kiosks. They teamed up with the vendor to study why the machines were not seeing more traffic. Their study found that, though patrons found the machines user-friendly and appealing, library policies complicated the checkout process, deterring potential users.

Assessment Pitfalls

- Forming goals just because they can be measured.
- Spending more time on data collection and analysis than the goal warrants.
- Collecting imprecise, inaccurate, incomplete, or irrelevant data.
- Gathering, analyzing, and presenting metrics out of the context of identified goals and objectives.

Assessing Publications

What makes a publication (whether an individual article, a book series, a white paper, or a website) successful? The answer depends entirely on context and is influenced by the organizational mission and the goals of the individual author or editor. A successful publication might be one that makes the best-seller list, generating revenue and prestige for the publisher, or it might be one that becomes well-regarded among a small, niche group of researchers. It might be one that demonstrably impacts policy decisions, or one that readers find entertaining. Predetermining the criteria for success helps publishers evaluate the impact of their publications and inform future publishing decisions. There is no “magic bullet” for understanding impact, but a variety of available tools and methodologies can give publishers a window into how audiences engage with their publications. All metrics have limitations and the potential for bias. Assessment tools are most effective when used in combination. Be sure to balance quantitative and qualitative methods and compare results from different methods. A few of the most common are introduced here, along with a brief discussion of the limitations and biases of each.

Additional tools and software for measuring impact can be found on the [Force 11 Resource and Tool Catalog](#).

What Can Assessment Tell Us About Impact?

- Did this publication reach its intended audience?
- Did it contribute to scholarly discourse, policy decisions, or the public good?
- Did it generate revenue/make a profit?
- Did it lead readers to seek out other publications in your portfolio?
- Was it well-received by readers, reviewers, scholars?

Citation Analysis

This is a “traditional” method of determining research quality or impact. Much discussion can be found about the pros and cons of this approach, including biases toward traditional, western research or researchers. Rightly or wrongly, citations have often been employed to determine suitability for tenure. Citation analysis in the sciences is common. Companies or tools for citation analysis include [Web of Science/Web of Knowledge](#), [Scopus](#), and [Google Scholar](#).

Limitations:

- Considers and measures only the citation of papers by other papers.
- Does not factor in public engagement, the research’s impact on policy, and other articles and essays citing research outside of academic papers.
- Does not consider context (e.g., was a citation critical or laudatory? substantive or passing?).
- Potentially biased towards Western research, white, male researchers.

H-index

The [h-index](#) provides an index to quantify an individual researcher’s scientific research output. It provides a more nuanced and accurate understanding of impact than simply considering productivity (number of published articles) or number of citations. Databases including Web of Science, Scopus, and Google Scholar provide the h-index for an individual based on publications indexed in the tools. However, this tool is limited in its overall effectiveness in measuring impact because not all research is measured by these databases.

Limitations:

- Does not provide accurate direct comparison of individual researchers.
- Comparing researchers from different fields is particularly problematic.

Impact Factor

Impact factor measures the frequency in which the average article in a journal is cited in a particular year. [Impact factors](#) measure impact of a journal, based on article average, not the impact of individual articles. They are calculated based on a two-year period, dividing the number of times articles were cited by the number of articles published. [Journal Citation Reports](#) (Web of Science) and [SCImago Journal and Country Rank](#) (Elsevier, Scopus) are two tools used to measure impact factor.

Limitations:

- Measures the quality of the journal rather than of the individual research/article. There can be great differences between the impact factor for a journal and the citation rate for a particular article in that journal.
- They are proprietary metrics, meaning they are not transparent nor reproducible.
- They favor well-established titles that have had time to build a reputation, potentially harming development of new journals, which are competing to attract high-profile authors and cutting-edge research.

Altmetrics

This is a relatively new term and method used to measure “alternative” measures of audience engagement with a publication, such as tweets, blog mentions, media appearances, Wikipedia entries, Mendeley captures, [Goodreads captures](#), Amazon reviews, and other measures. These measures attempt to quantify both the quantity and quality of attention a scholarly work is receiving through these means, as opposed to traditional citations. Companies involved in altmetrics include [Altmetric.com](#), [Plum Analytics](#), and [Impactstory](#). (This unit includes a case study in the Appendix on the implementation of Altmetric.com tools at Michigan Publishing.)

Limitations:

- They may be easier to manipulate than more traditional metrics (e.g., using bots to retweet an article).
- They advantage authors with a prominent social media presence.
- They don’t consider context (e.g., was a retweet of an article critical or laudatory? substantive or passing?).

Downloads and Other Web Analytics

Especially due to the rise of open access (OA) and non-traditional publications, data collected on downloads, page visits, visit duration, etc., can be useful in measuring impact.

Limitations:

- It is difficult to assess the quality of visits, downloads, etc.
- Bots and other automatic means can corrupt or influence these measures.
- Files may be shared or reposted to other websites, especially for Creative Commons licensed works, making it difficult to get a global download count.

Sales/Revenue

Rightly or wrongly, the number of copies sold has long served as a proxy for impact, especially for books. Trade publishers proudly display their New York Times bestseller designations on their book covers. Sales figures are about more than just prestige, however. Many scholarly publishers rely on sales revenue to keep their businesses running. Even university presses, which often operate with some funding from their parent institution, may be required to break even, or may count on revenue from popular titles to subsidize publication of more niche content. For most non-profit scholarly presses, sales and revenue is but one determinant of impact, and not necessarily the most important one. Sales data can be gathered from publisher or their distributors, as well as databases such as Bookscan, PubTrack Digital, and PubTrack Higher Education (all recently acquired by NDP from Nielsen Book, but still

maintained and operated by [Nielsen Bookscan](#)). Publishers can also use [WorldCat](#) to see how many libraries hold their titles.

Limitations:

- It does not apply to OA content.

Artificial Intelligence

An emerging technology, which is rapidly evolving but holds promise, applies artificial intelligence (AI) toward the identification of high-impact manuscripts at first submission, allowing editors to triage and rank incoming manuscripts. Machine-learning algorithms are used to estimate the future citation count and impact of a manuscript at speeds that exceed human ability. Companies employing AI for publication impact include [Meta](#) and [Aries Systems](#).

Limitations:

- It is experimental and not widely available, especially for small publishers.

Biases

In addition to the shortcomings of each metric noted above, all of these measures have fundamental biases that publishers must consider. For example, all metrics favor “fast moving stars,” which is research that grabs attention and is likely to receive citations and mentions, especially shortly after publication. Important research, such as replication studies or negative results, are less likely to be altmetric or citation “stars.” Many of the metrics and impact measures discussed above have also faced criticism for giving preference to scholars and journals from developed countries. Metrics and measures that equitably treat diverse voices are needed. Finally, many metrics apply only to journal articles, ignoring books as well as an array of non-traditional content. Even newer altmetrics tools often rely on DOIs, which are used infrequently for books, conference proceedings, gray literature, etc.

A mixed-methods approach that uses several metrics in combination is the best way to compensate for the limitations of each and develop a holistic understanding of a publication’s impact. Just as with assessing programs, assessing the impact of publications requires an ongoing, systematic approach. The organization must decide what data will be collected, analyzed, and shared (and how, and by whom), and have processes in place for incorporating the results into decision-making. Principles and methods for data collection and analysis are discussed in more detail in the following section.

Effective Program Assessment

- **Systematic:** Orderly, organized, ongoing, and cumulative.
- **Mission-driven:** Informed by the mission, goals, and objectives of the organization.
- **Multi-faceted:** Considerate of multiple dimensions and based on multiple data collection methods and sources.
- **Pragmatic:** Oriented towards realistic, actionable outcomes.
- **Participatory:** Designed and implemented throughout the entire department or organization, not imposed from the top down.

Collecting and Analyzing Data

A thorough discussion of data collection and analysis is beyond the scope of this unit; a few important points, however, are covered herein. As discussed above, objectives and measures to be used should be

determined and prioritized in advance. Focus on data that will be useful for decision-making and ensure that the investment in data collection and analysis does not surpass the benefit of the data itself.

Data Sources for Program Assessment

- institutional data (e.g., course enrollment numbers)
- repository data (e.g., download maps)
- web analytics or repository analytics (e.g., download counts, pageviews, user journeys, referral sources)
- focus groups (e.g., with authors, editors, readers, staff)
- web surveys (e.g., customer satisfaction surveys, user needs surveys)
- UX analysis (e.g., web usability testing, journey mapping, personas)
- social media (e.g., sentiment analysis of tweets that mention your program, number of followers)
- benchmarking (e.g., statistics from peer programs, aggregated statistics from national organizations)

What type of data do you have?

- Data can include both qualitative and quantitative metrics. Qualitative data includes descriptions, such as results of focus groups, comments in surveys, open-ended questions, and so on. Quantitative data includes numerical data, scores, sales, closed-end surveys, etc.
- Analysis of words and numbers will determine tools to be used.
- The most powerful are those analyses that combine both qualitative and quantitative measures.

How much data is enough?

- Can your analysis include a sample, or do you need a full set of all data? Sample methods include random, sequential (every “nth” data point), and stratified.

Can you categorize your data into subgroups?

- Stratified data is broken into meaningful subcategories or classifications to improve decision-making.

What patterns can you find?

- Use of statistics can help you discover predictable patterns or distributions, including mean or average, median (the middle number), frequency, and variation (range and standard deviation).

A checklist or check sheet allows you to systematically collect, compile, and compare data from historical sources to detect patterns or trends. This helps data to be more easily understood and applied, building on facts instead of each team member’s opinion, and enables patterns to become more quickly apparent.

Moving from Data to Decisions

Analyze the data, looking for trends, cause-effect relationships, and anything that stands out. Prepare a written report(s) identifying and commenting on results. Tailor reports and recommendations to specific stakeholders. Develop recommendations based on your analysis of the data, using identified goals as a framework within which to accomplish these changes and improvements.

Data collection and analysis will be most helpful when you agree on definition of events or conditions being observed and decide who will collect data, how often, and from what sources. If data collection is too onerous or sporadic, its usefulness will suffer. Those collecting data should have both sufficient knowledge and time to collect accurate information. It must be safe to collect and report “bad news,” or data will be filtered and biased.

Create a checklist or check sheet that is clear, complete, and easy to use. The information should include event or measurement name, date collected, measure, totals for columns and rows, and grand totals. Keep in mind the stakeholders who will view and use the data. Vary your analysis (but not results) and reporting procedures as appropriate for identified audience(s).

Activity: Assessing the Impact of Publication

Select one of the following scenarios to discuss with your group:

- Your library publishes a large portfolio of OA journals. You want to advise a faculty editor on effective ways to measure her journal’s impact.
 - Which metric or metrics would you recommend? Justify your response.
 - Are there any drawbacks to using the tools or metrics you have selected?
 - What else would you want to know about the journal to make an informed recommendation?
 - Outline an evaluation strategy for the journal, including the recommended metrics, data gathering and analysis methods, and definitions of success.
- Your library has just launched the first few titles in a new series of open textbooks and will be applying for a new round of funding from the university provost for your Open Educational Resources (OER) program.
 - Which metrics might you choose to look at as you prepare to make your case?
 - Are there any disadvantages or caveats to the approach you have selected?
 - What else would you want to know about the journal to make an informed recommendation?
 - Outline an evaluation strategy for the textbook, including the recommended metrics, data gathering and analysis methods, and definitions of success.

Next, browse one of the following examples of library and university press publications.

- Portal: Journal of Multidisciplinary International Studies, UTS ePress
- Journal of Environmental Resource Economics at Colby, Colby College Library
- *Arizona Anthropologist*, University of Arizona Libraries
- Don’t Be Quiet, Start a Riot!, Stockholm University Press
- *World Happiness Report [2012]*, University of British Columbia

In your small group, answer the following questions about the publication you selected:

- Who are the potential audiences for the publication?
- What impact does the publication hope to have on these audiences (e.g., to inform policy decisions, to entertain)?
- Does the publication have a stated goal or mission? If not, can you infer a mission?
- Thinking as the publisher, which metrics and methods would you use to evaluate the publication’s impact (i.e., its reach, effectiveness, and influence)?

Activity: Program Assessment Using the Balanced Scorecard Approach

The Balanced Scorecard Approach defines goals and metrics from four perspectives:

- User
- Internal Processes
- Finance
- Learning & Growth

User Goal example:

- **Mission Statement:** “The University of Michigan Press is committed to making its publications and electronic media accessible to the broadest possible audience. This commitment is firmly in line with our mission statement and University of Michigan accessibility guidelines.”
- **Implied Goal:** Make all print and electronic publications accessible to “the broadest possible audience.”
- **Metric:** Percentage of new publications that pass the [Web Accessibility Evaluation Tool \(WAVE\) checker](#).

Instructions:

- Review the Michigan Publishing entry in the *Library Publishing Directory* (see Appendix). Based on the mission statement and program information:
 - Develop at least three **goals** for your assigned perspective.
 - Identify *at least* one **metric** by which to measure each goal.

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Appendix 3-A

CASE STUDY: Altmetrics at Michigan Publishing and the *Journal of Electronic Publishing*

Abstract

Altmetrics are viewed as a complement to traditional citation analysis by providing a measure of attention for articles, books, and other scholarly publications from non-traditional sources, such as tweet activity, blogs, Wikipedia entries, Mendeley captures, policy documents, news media, and other social media sources. This case study examines implementation of the altmetric.com “badge” in Michigan Publishing journals, including the *Journal of Electronic Publishing*, as a way of measuring impact.

Altmetric Implementation at Michigan Publishing

Michigan Publishing is the hub of publishing for the University of Michigan. The publishing arm of the University of Michigan Libraries, its imprints include both the University of Michigan Press as well as a library publishing program. The press publishes more than 100 books per year, with more than 3,000 titles in print. Michigan Publishing provides publishing services for the university as well as for other institutions, maintains several journals, including the *Journal of Electronic Publishing* (JEP), which celebrated 20 years of electronic publishing in 2015. The University of Michigan’s institutional repository, Deep Blue, is also a component of the publishing program, providing access to preprints, technical reports, white papers, data, and electronic dissertations.

Michigan Publishing has long demonstrated a commitment to open access publishing, including the university press, which has emerged as one of the pioneers in open access book publishing. As of August 1, 2017, the press has published 181 open access titles over a wide range of topics in the humanities and the social sciences. Most of these are also available for sale through Amazon as Kindle editions and both Amazon and other vendors in print; the press considers the Kindle version as a value-added version and customer convenience—some readers prefer a paid Kindle version even if there is an OA PDF. The press’s imprint [digitalculturebooks](#) focuses on publishing innovative work in new media studies and digital humanities, sustained by sales of print and ebook editions.

Altmetric.com is one of the firms providing “altmetrics,” assessment measures of non-traditional activity such as social media; other altmetrics providers (as discussed in this unit) include Plum Analytics (PlumX) and Impactstory. Altmetric tracks news media, from a manually-curated list of more than 1,360 global news outlets; reference managers including Mendeley and CiteULike; policy documents; post-publication peer review sites such as Pubpeer and Publons; social media mentions such as Twitter, Google+, and Facebook (public posts only); and other activity including mentions or references on Wikipedia, Reddit, and others. It has recently started tracking books, and includes other attention sources such as the Open Syllabus Project for them. The Altmetric “badge” uses a research document’s digital object identifier (DOI)—and other identifiers such as Pub Med ID, arXiv ID, SSRN ID, URLs, other hdl and ISBNs—to measure this activity.

Michigan Publishing, like most library publishing services and university presses, seeks to demonstrate the value that their activity represents to the university. As part of the effort to show the impact of their publications to administrators, faculty, and other researchers and scholars, Michigan Publishing

launched a [pilot with Altmetric](#) in early 2015, implementing Altmetric badges, first on journal articles and subsequently on open access books and materials in Deep Blue, to generate data on non-traditional activity. In 2016 Michigan Publishing added tracking for all University of Michigan Press books.

The Altmetric badge provides instant, visual feedback to their authors. Importantly, authors can see for themselves evidence that can be useful for demonstrating the impact and reach of their research, without querying the press for information. Reports can also be generated for press and publishing management and other administrators. Staff can utilize the altmetric data to identify success stories and refine future outreach strategies.

Altmetrics and the Journal of Electronic Publishing

One example of the use of altmetrics combined with traditional citation analysis was demonstrated in the [20th anniversary issue of the Journal of Electronic Publishing](#). Editor Maria Bonn's "[Editor's Note \[18.4\]: Reflecting on Twenty Years of Electronic Publishing](#)," provides historic background on the journal and lists influential publications from JEP's first two decades.

These lists include the top twenty titles by number of citations (ranked by Google Scholar citation counts through 2015), top fifteen by pageviews (ranked by Google Analytic stats from 27 Oct 2009–23 Nov 2015), and top twenty by Altmetric score (ranked by as of 23 Nov 2015).

Interestingly, only three articles appear on more than one list. "[White Paper: The Deep Web: Surfacing Hidden Value](#)" by Michael K. Bergman, published in August 2001 was JEP's number one article both terms of citations on Google Scholar and page views through Google Analytics (as of August 1, 2017, it is also the journal's number one article in terms of Altmetric score). "[YouTube Users Watching and Sharing the News: A Uses and Gratifications Approach](#)," by Gary Hanson and Paul Haridakis, published in November 2008, was the 16th ranked article in citations and 12th in page views. "[The Influence of Academic Values on Scholarly Publication and Communication Practices](#)," by Diane Harley, et al., published in Spring 2007, was the 18th ranked article in citations and 10th in Altmetric mentions.

As Bonn points out, compiling a list of the journal's "greatest hits" thrust the editorial team into the controversies surrounding journal metrics which the journal itself has discussed in numerous articles. Gaps in page view data exist due to changes in publishing platforms, server issues, and other issues. Altmetric data was implemented in the journal earlier in 2015, and the nature of altmetric data will give some advantage to newer articles, as social media and many of the other activity sources tracked by Altmetric did not exist more than a decade ago.

Unit 4: Strategies for Enhancing Discovery and Accessibility

This unit focuses on two interrelated concepts: discovery and accessibility. First, we will discuss discovery, or how users *find* content. We will cover important aspects of enhancing discovery, including metadata management, indexing, and search engine optimization. Later, we will discuss accessibility, or how people of all abilities *interact* with your content. Robust metadata, or “data about data,” is a requirement for both discoverability and accessibility. Metadata enables the flow of information about your publication through various databases and systems and allows computers to independently process information about your content. As a book or other publication journeys from submission, to contract, to production, through marketing and distribution, metadata is created, stored, and disseminated; the range of metadata fields is constantly growing and expanding. Each publisher manages this process somewhat differently, depending on the systems and standards they employ and which metadata elements they decide to collect and disseminate. Generating metadata is both art and science.

What You Will Learn

- Recognize the key standards, identifiers, and processes involved in metadata management.
- Implement methods for indexing journal content in appropriate databases.
- Create a flowchart or process map, useful in metadata management and in other publishing processes.
- Understand some of the basics of search optimization, including best practices in the use of keywords.
- Understand key elements of accessibility, including ADA/legal aspects of accessibility, best practices in web accessibility, universal design, user experience (UX), and universal design for learning.
- Use concepts and strategies for diversity, inclusivity, and accessibility.

Discovery: Metadata, Indexing, and Search Engine Optimization

We use the term “discoverability” to refer to whether potential readers can find your content when and where they need it. Content that readers can’t find may as well not exist. In this section, we discuss several strategies for enhancing discoverability, including the thoughtful application of metadata standards, content indexing, and search engine optimization (SEO).

Metadata Standards

The concept of standards is central to understanding metadata creation and the flow of metadata through various publishing systems and databases. In a sense, metadata and metadata standards have existed since the dawn of publishing. Producers and collectors of medieval manuscripts kept catalogs of their collections in monasteries. The book trade started even before Gutenberg’s invention of movable type and lists of inventory were kept by traders of valuable manuscripts. With the emergence of printed books, the “title page” evolved to become somewhat standardized with descriptive information about the book, such as title, subtitle, author, publisher, date of creation, and current edition.

Metadata Begins with Basic Information

- **Product basics:** title, author, and jacket cover
- **Product description:** catalog copy
- **Product details:** identifiers (ISBN), page counts, price(s), carton quantity
- **Additional information:** author bios, blurbs, reviews, awards received, table of contents, keywords, audience code
- **And even more information:** book trailers, sample chapters, excerpts, tags, other books, regional info

Meanwhile, with the dawn of the computer age, libraries and library bodies, such as OCLC, worked to adapt and standardize metadata from index cards to information systems to improve discoverability and usage by their patrons. As Amazon pioneered online bookselling and the rise of “superstores” such as Borders and Barnes and Noble transformed the book industry, new standards were developed and agreed upon by international publishing bodies, such as the Association of American Publishers (AAP). These efforts primarily centered on improving sales; providing descriptive information and cover images was a means to increase a title’s discoverability and “salability.”

As Jenn Riley and Devin Becker beautifully illustrate, a nearly infinite variety of standards exist for scholarly metadata. Museums, libraries, publishers, others in the information industry, and research/scholarly archives are among the communities that create and utilize metadata. Metadata is utilized to describe elements in various domains, including scholarly texts, datasets, musical materials, cultural objects, and many others.

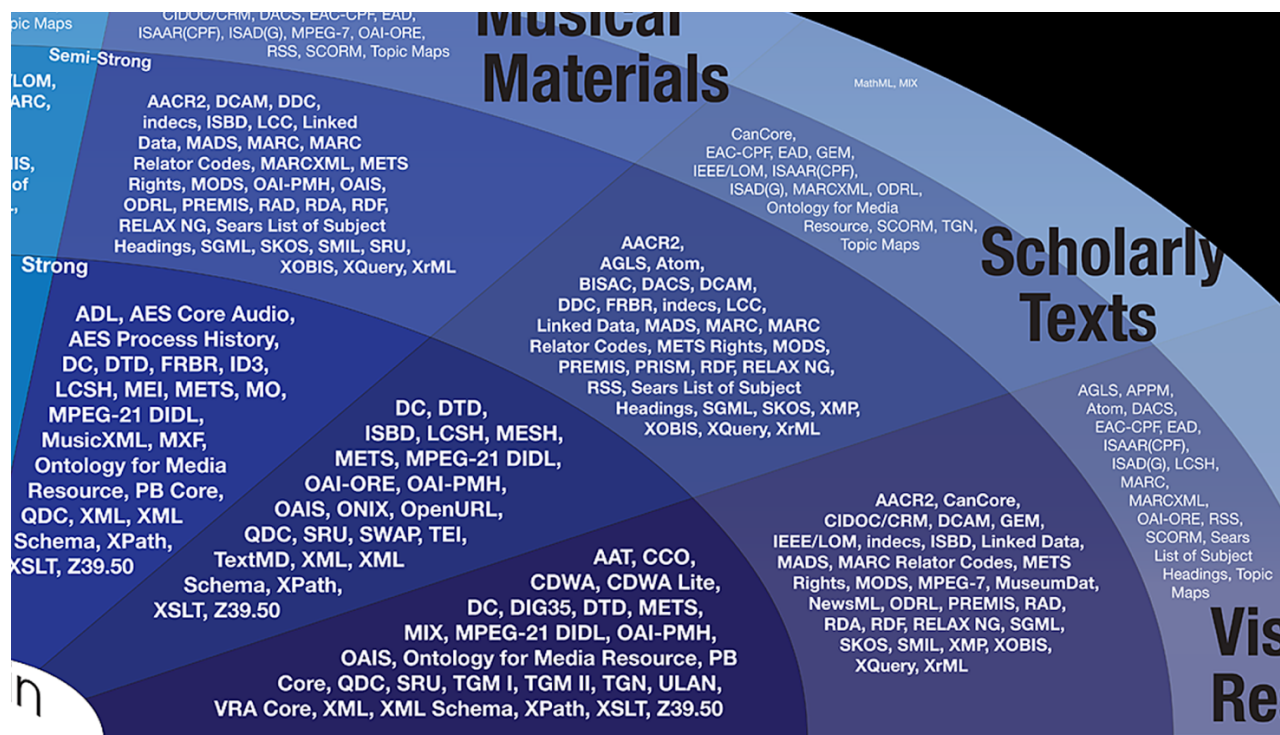


Figure 4.1: Seeing Standards: A Visualization of the Metadata Universe. An up-close visualization of the infinite variety of scholarly metadata.

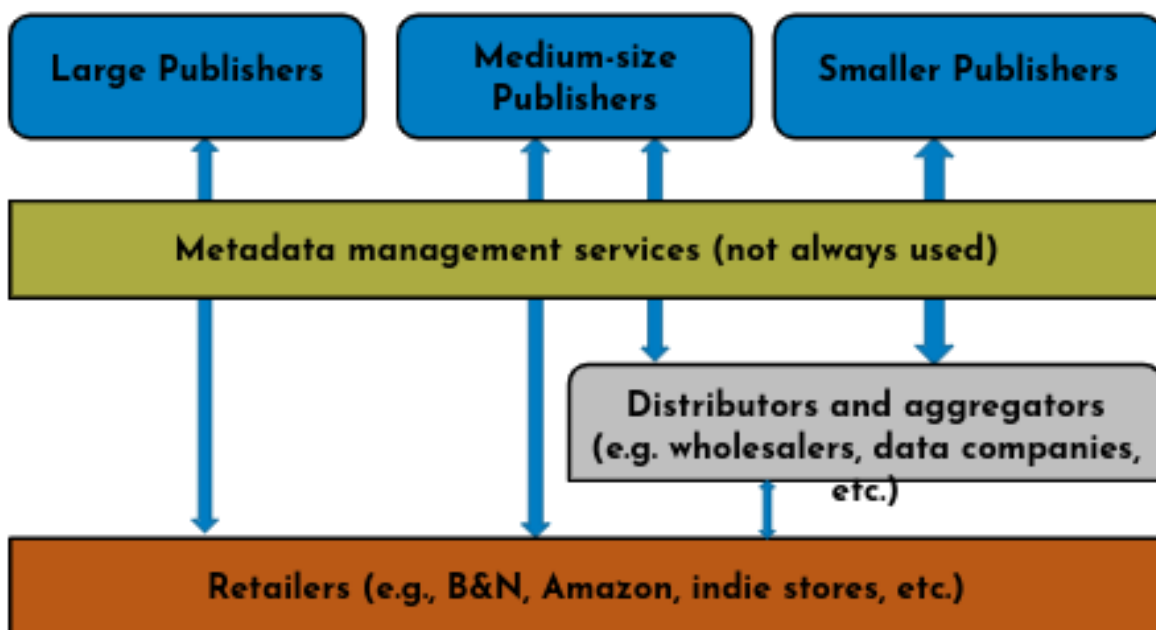


Figure 4.2: Metadata is Information Flow. A graph that explains the different relationships associated with the flow of metadata information.

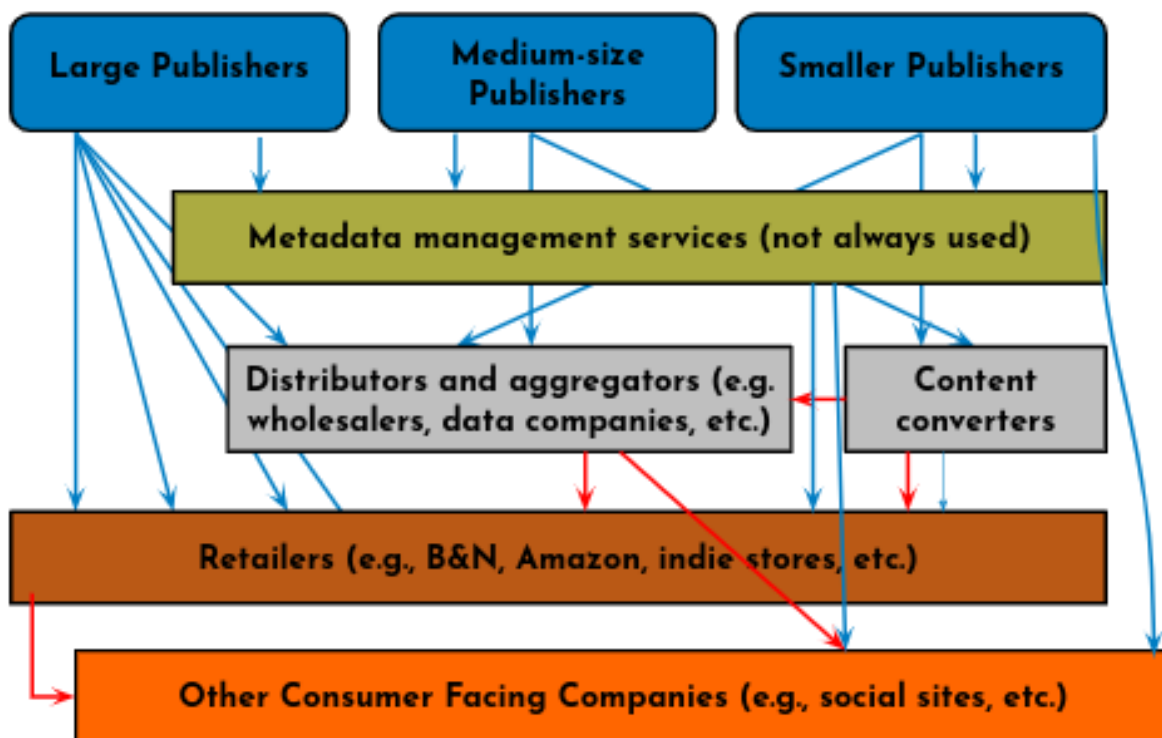


Figure 4.3: Metadata is Messy. A more in-depth graph that explains how complicated the relationships associated with the flow of metadata information can become.

Even within the domain of scholarly texts, more than fifty standards are used in some fashion, and this is only a sampling. As Riley mentions, “The standards represented here are among those most heavily

used or publicized in the cultural heritage community, though certainly not all standards that might be relevant are included.” Key [metadata standards](#) in scholarly publishing include:

- **MARC:** The library community’s key metadata standard, [MARC](#) Records (Machine-Readable Cataloging Records), comprise a descriptive metadata standard for the information industry used by libraries to catalog various print and electronic materials. Machine readable means the records are “read” and interpreted by a computer. A “cataloging record” is a bibliographic record, which contains information that was traditionally shown on a catalog card. MARC Records include (not necessarily in this order): a description of the item, main entry and added entries, subject headings, the classification or call number, and typically many additional fields of information. Most libraries receive MARC Records from OCLC, other sources, or create records themselves, but publishers can also send MARC Records directly to libraries. This is particularly helpful when publishers have large, subscription-based collections provided directly to libraries.
- **Dublin Core:** Dublin Core Metadata (ISO Standard 15836) is one of the best known metadata standards. Originally developed in 1995 to describe the content of web pages and improve search and retrieval, the [Dublin Core Metadata Element Set](#) consists of 15 elements, which are the basic descriptive, administrative, and technical elements that identify a unique digital resource.
- **ONIX:** The most common standard used in the book trade is [ONIX](#) (Online Information Exchange); it represents book, serial, and video product information in electronic form. A few trading partners will *not* accept ONIX. Publishers (or their mediators) send ONIX feeds to book industry trading partners, such as wholesalers (Ingram, Baker & Taylor), online retailers (Amazon, Powells), retail chains (Barnes & Noble), and databases (Library of Congress, Bowker Books in Print, Serials Solutions, OCLC/WorldCat). Enriched ONIX data can include hundreds of fields of data, from basic author and title to rights information and reviews. The standards body EDItEUR—in cooperation with Book Industry Communication (BIC, based in UK), Book Industry Study Group (BISG, based in US), and industry stakeholders—maintain the ONIX standard.

Because of its central role in the book industry, it’s worth taking a closer look at ONIX. ONIX was first developed in 1999 by a group of more than sixty publishers, online booksellers, wholesalers, and other key stakeholders to standardize book metadata in the information age. The current standard, ONIX 3.01, was released January 2012. Best practice guides and code specifications are available on [BISG](#) and [EDItEUR](#) websites. ONIX is available in many different languages. ONIX is an XML (Extensible Markup Language) schema and maintains structure that is logical and, importantly, both human- and machine-readable.

Like HTML, ONIX records have an opening and closing code within brackets with the described element sandwiched in between. Here is a brief snippet of an ONIX record:

```
<Product>
  <RecordReference>1234567890</RecordReference>
  <Notification Type>03</NotificationType>
  <ISBN>9781626160132</ISBN>
  <Product Form>BB</ProductForm>
  <DistinctiveTitle>Hezbollah</DistinctiveTitle>
  <Contributor>
    <ContributorRole>A01</ContributorRole>
  <PersonNameInverted>Levitt, Matthew</PersonNameInverted>
```

```

    <BiographicalNote>Matthew Levitt is a senior fellow and director
    of the Washington Institute for Near East Policy's Stein Program on
    Counterterrorism and Intelligence</BiographicalNote>
  </Contributor>
  <LanguageOfText>eng</LanguageOfText>
  <NumberOfPages>368<.NumberOfPages>
  <BISACMainSubject>POL012000</BISACMainSubject>

```

That is what a typical ONIX record looks like. At first blush, it's pretty technical. However, it's eminently logical. Notably, it can be *read* by a human as well as a machine. Each element describes what's coming, describes the element, and then reminds you about the element it just described. Such as, "Here comes the ISBN! This is the ISBN number! That was the ISBN!"

The ONIX record can continue with hundreds of additional fields. BISG's guidelines identify 32 core metadata elements, of which 27 are listed as "mandatory." This does not mean, however, that trading partners will necessarily reject publisher metadata with missing "mandatory" elements. Many elements have various sub-elements and iterations. ONIX comprises 156 unique code-lists that include 4,105 different values; within these values are nearly innumerable iterations. For example, there are more than 3,000 different BISAC subject codes that be used to describe the book (code list 26, value 10).

ONIX Code to Indicate Audience

ONIX Code List 28 Audience Code List (Audience Code, Description):

- General/Trade
- 02, Children/Juvenile
- 03, Young Adult
- 04, Primary & Secondary/Elementary & High School
- 05, College/Higher Education
- 06, Professional and Scholarly
- 07, English as a Second Language
- 08, Adult Education

Identifiers

To add precision and accuracy to metadata records, and to enable semantic linking on the web, publishers employ a variety of unique identifier systems. Unique identifiers serve a variety of purposes. For example, creator identifiers facilitate the process of distinguishing between two authors named Thomas J. Smith and enable discovery and aggregation systems to automatically pull all of Thomas J. Smith's publications from disparate sources into one place. Work identifiers provide a stable means of identifying or accessing a work, even as websites and discovery systems change. You may change the URL structure on your journal's website, but if your articles have permanent identifiers, readers will still be able to discover your content. Finally, publishers use unique product identifiers to accurately manage inventory. The following sections include common unique identifier systems that publishers employ.

Creator/Contributor Identifiers

Creator/contributor identifiers identify an author, editor, producer, or other entity that contributes to a work. The creator/contributor may also be, but is not necessarily, the rights holder in the work. Identifiers facilitate the process of distinguishing authors with similar names. Examples of creator/contributor identifiers include:

- [ISNI](#) (International Standard Name Identifier): Assigned to the public name(s) of a researcher, inventor, writer, artist, performer, publisher, etc. The ISNI is a unique identifying number designed to solve the problem of name ambiguity in search and discovery (for example, several authors, even within a single publisher, may have the same name). In addition, artists and creators today may be involved in many domains, as writers, musicians, filmmakers, etc. The ISNI is designed to work as an identifier across multiple domains, working as a critical component in Linked Data and Semantic Web applications. ISNI may identify “real” people, such as authors, musicians, researchers, and editors; “fictional” characters or places (such as Harry Potter or Hogwarts); and institutions, such as publishers, community centers, funders, and others. Each number is 16 digits.
- [ORCID](#) (Open Researcher and Contributor ID): Used specifically for researchers and scholars. ORCID is a registry of researchers and scholars, used in workflows and application programming interfaces (APIs); ORCID is especially useful for funders and institutions tracking researcher output. Importantly, data within an ORCID record is managed by the individual researcher/scholar, who can determine what publications or other data are linked to the record, as well as what data are shared with the public or trusted parties.
- Other creator/contributor identifiers include [Researcher ID](#), [Interested Party Information](#) (IPI, specific to the music industry), and [SCOPUS ID](#).

Work Identifiers

Work identifiers identify an intellectual property item (high level; a “work” may comprise various products). Examples of work identifiers include:

- [DOI](#) (Digital Object Identifier): Used to digitally identify and locate works or “objects,” such as journal articles, books, and book chapters. DOIs provide a persistent link to where the object, or information about it, can be found on the Internet, even if the digital object’s location changes or ownership changes commercially. DOIs have been widely embraced by journal publishers to identify journal articles, but the use of DOI as book identifiers is increasing, particularly in scholarly books. A DOI can identify a work, a product, or a component, such as a chapter, table or chart. It can be assigned to print as well as e-books. A DOI is actionable, linking to whatever resource the publisher wants it to link to. The DOI itself is permanent, but the metadata associated with it, as well as the link that it resolves to, can be changed by its owner at any time. Finally, DOIs can link to multiple resources, such as the content itself, the publisher’s website, book reviews, social media, and the product on retail sites such as Amazon or Powells. DOIs are also used by altmetric services (see Impact Unit 3).
- [LCCN](#) (Library of Congress Control Number): Record identifiers assigned by the Library of Congress to bibliographic and authority records. LCCNs are assigned to records created when materials arrive at the library. US book publishers use LCCNs in the Cataloging in Publication program. LCCNs are also assigned to serials cataloged as part of the cooperative CONSER program.

Product Identifiers

A product identifier is an item made available to an audience or market for sale, download, or other use. Examples of product identifiers include:

- [ISBN](#) (International Standard Book Number): A unique identifier for text-based products, including print and digital books, textbooks, audiobooks, chapters or sections of books that are separately made available for sale or use, and other formats. When books are available in

different formats, separate ISBNs can be assigned to identify each of them uniquely, although there exists some debate with eBooks about whether to assign separate ISBNs for each format (i.e. epub, Mobi, PDF), each version assigned to each electronic vendor, or each instance of a book product. The ISBN is used to increase discovery, processing, and distribution of books throughout the book trade and global supply chain, and they are also used to capture and aggregate point-of-sale data from various online and physical retailers.

- [ISSN](#) (International Standard Serial Number): Identifiers used by publishers, libraries, internet retailers, and the journal and newspaper trade to produce, distribute, and manage serials. The ISSN standard added linking ISSN (ISSN-L) in 2007, creating a single identifier that aggregates ISSN assigned to different media versions of the same work. Like the ISBN for books, the ISSN is used for distribution and access and to capture point-of-sale data and inventory management.
- [OCLC Control Number](#): Identifies a record in WorldCat's database of global library materials and holdings. The control number facilitates communication between local libraries and WorldCat to increase discoverability of library catalogs and holdings.
- Other product/unit identifiers include [EPC](#) (Electronic Product Code), GTIN (Global Trade Item Number, used in barcodes), and [ISMN](#) (International Standard Music Number).

Metadata Process

Effective metadata management is critical to all aspects of publishing, from creation and production, to marketing, dissemination, and, ultimately, to impact. Metadata, like publishing more broadly, is also in the process of evolving from a publisher-, retailer-, or aggregator-controlled process to a dispersed, interconnected, social, and crowd-sourced activity that links research and publications across the information spectrum.

Metadata does more than describe content; it enables information flow. Commercial book publishers, for example, create metadata, send it to retail and other partners (either directly or through intermediaries), retailers use metadata to display and sell products to readers, and retailers or distributors provide sale data back to publishers in order to facilitate inventory management, royalties, and other financial information. Library publishers provide metadata to various aggregators, such as the Directory of Open Access Journals or their campus library to make sure readers can find their publications. In theory, it's a smooth process of data transfer; however, in practice, it's messy. Many players handle and process metadata, and metadata is frequently altered or mangled along the way. Within the publishing organization, everyone should be able to see or access metadata, but not everybody should be able to edit, alter, create, or delete metadata records. Again, getting the right balance is a challenge.

Continuous Improvement

The effort never ends. There's always something to add, improve, and/or clean up. Improvement efforts include increasing quality of metadata and quantity of accounts to which you feed metadata directly in ONIX. Data constantly changes and errors are introduced regularly. You should limit the number of databases you store your data. Additionally, not everybody should be able to edit it, but everyone should be able to see/access it.

Mapping the metadata process is a step toward improving accuracy and timeliness. A metadata process map diagrams the flow of information, recording details such as which personnel or department inputs data, where handoffs occur, which data repositories are used, and to whom metadata is ultimately delivered.

Within an individual book publishing organization, metadata is input into a database (or databases) by various departments or personnel (often production and marketing), and flows from the publisher via ONIX, spreadsheets, or intermediaries through various systems and databases to trading partners, ultimately to thousands of destinations. A process map often reveals problem areas such as disconnects, bottlenecks, redundancies, rework loops, and decision delays. For example, duplicate input of the same information, such as ISBNs, dramatically increases the likelihood of errors, as well as causing time inefficiencies.

An example of a metadata process map/flowchart is provided below. It probably goes without saying that the flowchart looks complicated, even though it is in fact somewhat simplified (it does not, for example, include all metadata input detail). The flowchart, created by the author in 2009, details metadata involved in both print and eBook distribution, advance product information provided to distributors, product information provided as ONIX files to national and international distributors, MARC Records provided to libraries, and information provided to social sites such as Goodreads and LibraryThing.

MARC Records

Publishers can send MARC Records (library standard bibliographic data) directly to libraries. Most libraries get MARC Records from OCLC or other sources. MARC Records help libraries catalog titles quickly and accurately. OCLC has an initiative to merge ONIX and WorldCat/MARC Records. Metadata “crosswalks” map and exchange data between two metadata schemas.

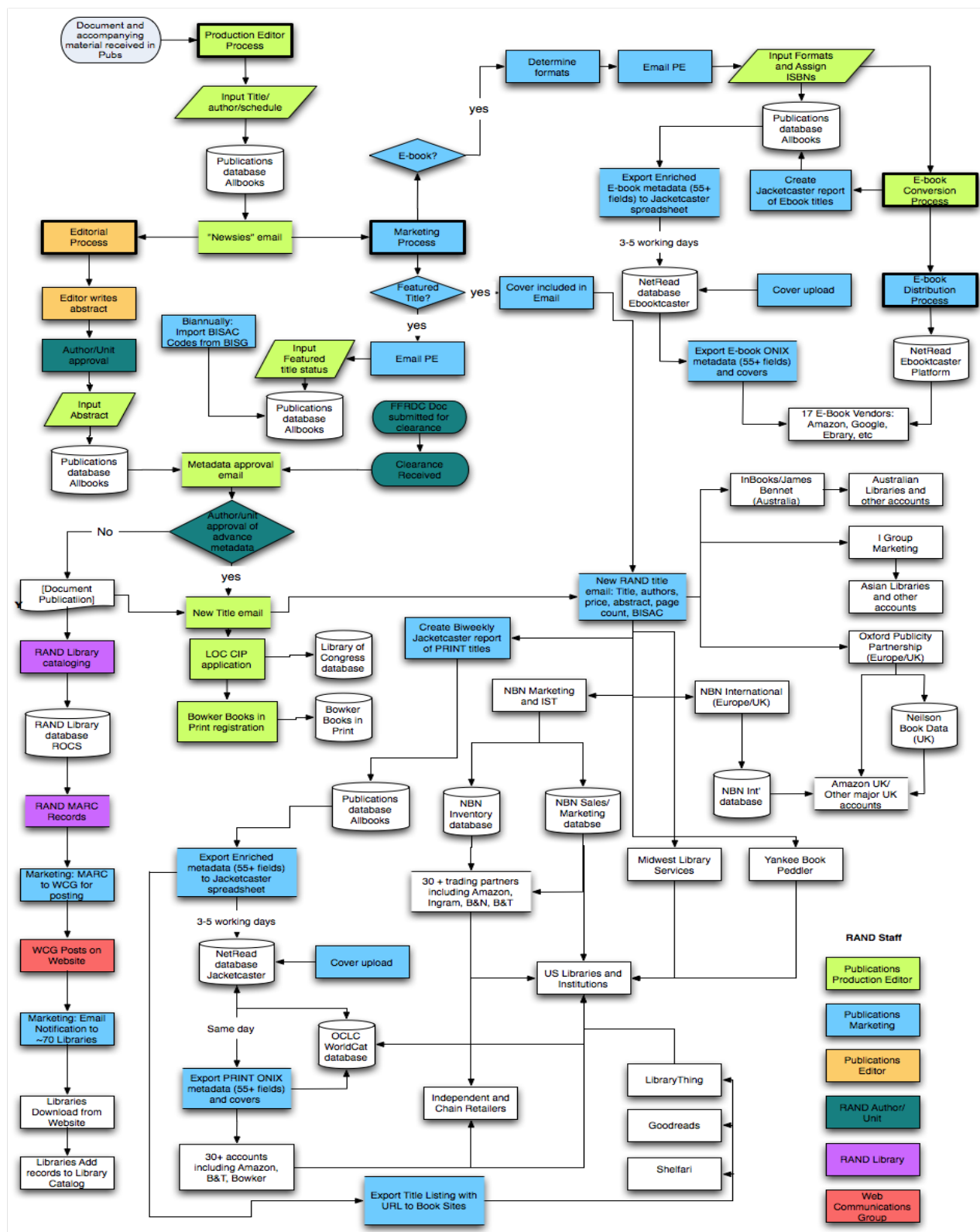


Figure 4.4: Metadata Process Map. An in-depth flowchart that thoroughly details key departments or personnel involved in metadata processing, the databases where information is stored, and key decision points (such as approval processes).

A detailed view of the process map shows how the publisher sends metadata to the Library of Congress, Bowker, and direct trading partners so consumers can discover it on retail sites and in various databases. Many organizations will also need to map sub-processes within the grander scheme illustrated here.

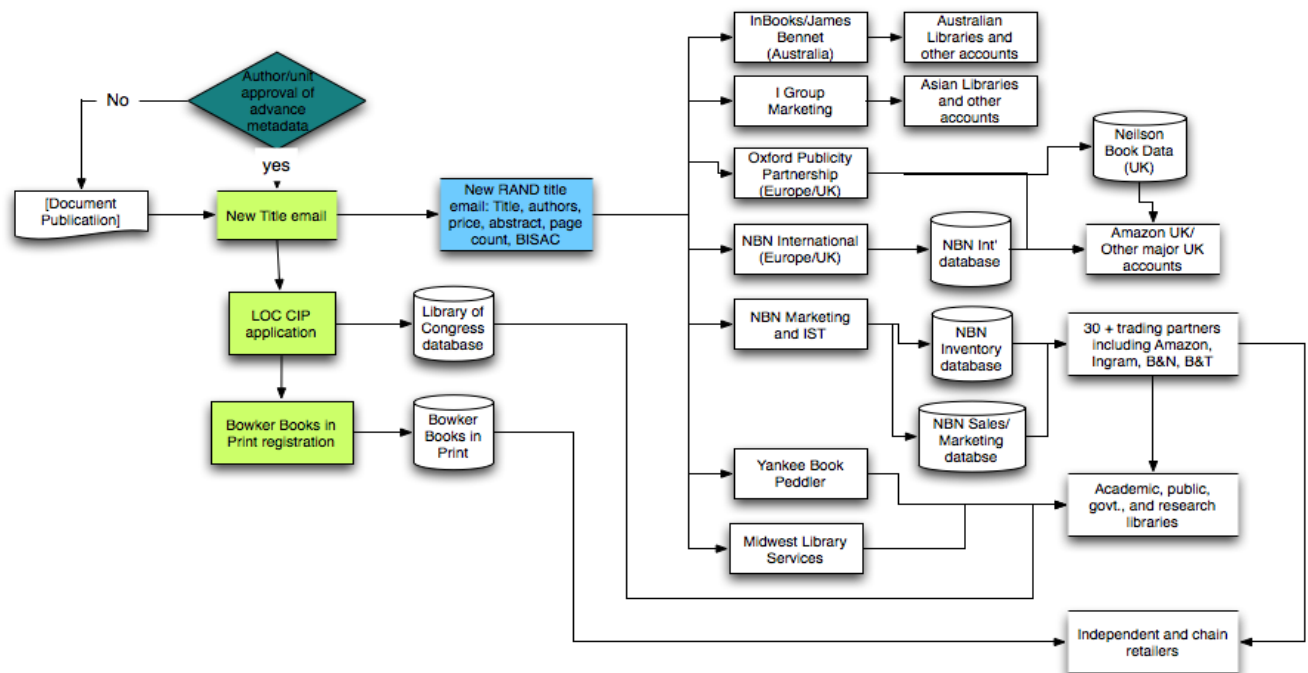


Figure 4.5: Metadata Process Map Detail. A closer look at the flowchart in Figure 4.4.

Standards

Metadata standards and their implementation are evolving, works in progress. eBook metadata is particularly complex, with different formats such as PDF, epub, and mobi or Kindle, digital rights management (DRM), multiple currencies, chapter-level sales, subscription sales, vendor consortia sales to libraries; the list of complexities and variables is only growing. As mentioned above, little agreement exists on how to apply ISBNs to different formats. Some publishers assign a single ISBN to multiple formats, others assign a different ISBN to each format, and some publishers assign distinct ISBNs to different formats and aspects, such as presence of DRM or not, different vendors, and the like. It is also very difficult to link print and eBook metadata, although YBP has made great strides with their GOBI database product for library market.

Robust metadata enables a variety of other publishing workflows. For example, marketing metadata exported in XML formats can be used to automate or simplify the creation of print and online catalogs, brochures, email marketing newsletters, and other outreach materials.

Metadata Holds a Central Role in the Publishing Organization

- **Administration:** rights and royalty information
- **Interoperability:** transmission of data between or within internal and external systems and standards
- **Production:** product flow from creation to dissemination

- **Marketing and distribution:** data exchange with distribution, retail, and other vendors and partners
- **Repurposing:** chunk content into chapters/micro-segments
- **Learning:** integrate content into learning management systems and databases, such Blackboard or SCORM
- **Preservation:** digital assets management and version control
- **Use:** sales tracking, search logs, and eBook usage

Journal Indexing

Abstracting and indexing (A&I) services and directories work to improve discovery of journal articles and other content by providing libraries and researchers validated content. In general, these services can be classified as commercial (including [SCOPUS](#) and [Web of Science](#), for which libraries pay subscription fees to offer the discovery service to patrons), open-access/non-profit indexes (often specialized, such as [PubMedCentral](#) in biomedical and life sciences and [ERIC](#) for education research), directories (such as [Directory of Open Access Journals](#) (DOAJ)), and search engines (such as [Google Scholar](#)). However, lines between these classifications can blur. These services often, but not always, utilize publisher metadata combined with full text search to enable discovery. There is also an increasing range of other sites, including [Mendeley](#), [ResearchGate](#), and [Academia.edu](#); these frequently rely on author contributions and preprints. (Click [here](#) for example DOAJ data.)

A&I services and directories benefit libraries and researchers by displaying relevant content and because they can be integrated with library catalogs, enabling search, display, and access. Journal articles are often available on a limited number of platforms, such as EBSCO and ProQuest. No single discovery service indexes all academic content available, for a variety of reasons related to business relationships, metadata constraints, and other political or legal limits. Journal content discovery has traditionally been far more advanced than for books, both physical and electronic, although efforts to better integrate book content into abstracting and indexing services have been underway for several years. For online books, restrictions such as digital rights management and lack of integration of different eBook platforms and services have hampered discovery.

Publishers benefit from devoting time and resources to getting journal, books, conference proceedings, and other content indexed. Even open access journals, which publish content that is accessible to anyone, benefit from indexing because of its potential for increased discovery as well as the prospect of attracting new authors and reviewers. Indexes such as SCOPUS, Web of Science, and DOAJ also confer legitimacy on journals and their content through stringent selection criteria designed to weed out less academically rigorous or “predatory” journals. Nevertheless, the benefit of getting your journal indexed must be weighed against the opportunity cost (time and effort) of the endeavor. This decision is part of the strategic prioritization process discussed in the Impact module’s second unit. The process mapping in this unit’s activity can also be useful for refining a publisher’s indexing activities.

Journal editors, subject librarians, and specialists can help publishers determine which A&I services are most important and relevant to the journal’s content. As mentioned above, there is no single service or “one size fits all” service to target for inclusion. Knowing the selection criteria for getting indexed often involves knowing the right questions to ask, ensuring that your journal’s scope, peer review policy, production methods, and publishing platform meet the indexer’s requirements.

A&I services and directories have a wide variety of requirements or recommendations for inclusion; publishers should check each site’s requirements carefully. Many of these criteria are common sense and follow publishing best practices, although criteria can also be esoteric and discipline specific. An

ISSN and clearly stated editorial and peer-review policies and practices are nearly universal requirements. A summary of some of the most important indexing services and their criteria follows, but this is by no means comprehensive, and criteria are regularly updated and revised.

Directory of Open Access Journals (DOAJ)

One of the largest and most respected resources for open access publishing, DOAJ is a membership organization and publishes [criteria](#) for publisher membership and indexing (see also their [blog entries](#) on indexing criteria). DOAJ is a community-curated list of open access journals that includes scientific and scholarly periodicals that publish research or review papers in full text across all scientific and scholarly subjects. Sources of research include academic, government, commercial, non-profit, and private sources, in all languages. Some of DOAJ's selection criteria for publisher membership and, therefore, inclusion in the directory include:

- Content must undergo a “quality peer-review process”; the exact type of review must be stated clearly on the journal's web site.
- Full text of all content must be available for free and be Open Access without delay (i.e. no embargo period). The journal's open access policy must also be clearly stated on its website.
- Journals must clearly state on their website any charges for submission or publication (article processing charges, submission charges, etc.); if there are no charges this must also be clearly stated.
- The journal's primary audience and contributors should be researchers. (If the journal is run by a student body, the journal must have an advisory board of which at least two members have a PhD or equivalent.)
- The journal must have at least one ISSN, and each article must have its own URL, with separate PDF and/or HTML (not merely by issue) to allow direct linking to articles.
- At least a third of the content should consist of original research and/or review papers.
- DOAJ recommends as best practice that articles apply a [Creative Commons](#) license to content. In all instances the journal web site must state clearly and precisely the terms of use and reuse that readers and authors have when they submit an article or use the published content, particularly if you are not using a Creative Commons license.
- DOAJ also recommends that journal publishers utilize a plagiarism detection service (several are available) and publish a plagiarism statement on their website that includes the name or type of plagiarism service utilized.

Scopus

Scopus, which launched in November 2004, claims to be the largest abstract and citation database, with over 21,500 of peer-reviewed journals (including more than 4,200 open-access journals) from more than 5,000 international publishers. Scopus, part of Elsevier's portfolio of services for researchers and libraries, also indexes book series, trade publications, conference proceedings, and other research output in the fields of science, technology, medicine, social science and arts and humanities. Scopus uses the expertise of scholars comprising a [Content Selection & Advisory Board \(CSAB\)](#) and the [published criteria](#) to evaluate and index content. Criteria for inclusion include:

- Consist of peer-reviewed content.
- Be published on a regular basis (have an ISSN number that has been registered with the International ISSN Centre).
- Be relevant and readable for an international audience (e.g., have references in Roman script and English language abstracts and titles).

- Have a publication ethics and publication malpractice statement.

Web of Science

Underlying Web of Science are three Citation Indexes: the Science Citation Index Expanded (SCIE), the Social Sciences Citation Index (SSCI), and the Arts & Humanities Citation Index (AHCI). Several factors are considered to [evaluate journals for coverage](#) in these indexes, ranging from the qualitative to the quantitative. These include the following:

- **Basic publishing standards:** These include peer reviewed content, ethical publishing practices, format in XML or PDF, timeliness, full-text in English (or at minimum, bibliographical information in English).
- **Editorial content:** Selection is focused on an essential core of journals that forms the literature basis for each discipline, recognizing that most of the important papers are published in relatively few journals.
- **International focus:** International diversity among the journal's contributing authors, editors, and editorial advisory board members appropriate for the journal's target audience. If the journal's content is aimed at an international audience, the expectation is to find an internationally diverse group of authors, editors, and editorial advisory board members contributing to it. Also interested in excellent regional Journals and include a relatively small proportion of these each year. Regional journals often target a local, rather than an international, audience, requiring less emphasis on extensive international diversity.
- **Citation Analysis:** Determines the importance and influence of a journal in the surrounding literature of its subject. Total Citation counts determine the integration of the journal into the surrounding literature over its entire publishing history; the Impact Factor determines the recent effect of the journal on the literature of its subject. Because Web of Science Core Collection is a true Citation Index, all cited references from every item in every journal covered are indexed whether or not the cited work is also covered as a source publication.

PubMedCentral

PubMed Central (PMC) is a free archive of biomedical and life sciences journal literature at the U.S. National Institutes of Health's National Library of Medicine (NIH/NLM). See PMC's [selection guidelines](#) for journals as well as [information for publishers](#).

ERIC

The Education Resources Information Center (ERIC) is administered by U.S. Department of Education's National Center for Education Evaluation and Regional Assistance (NCEE). ERIC is an online bibliographic and full-text digital library of education research, including journal articles and non-journal materials. See ERIC's [selection guidelines](#) and [full selection policy](#).

Google Scholar

See [inclusion guidelines](#) for webmasters, individual authors, repositories, and journal publishers.

Search Engine Optimization (SEO)

Search engine optimization (SEO) can seem mysterious and certainly is something that evolves rapidly, yet understanding a few basic principles is key to having your website and other electronic content be

discoverable in search engines. In the section above, and in this unit’s presentation, we discuss publishing metadata. SEO involves some similar processes and techniques, such as keywords, but the techniques differ. Search engines rank pages based on their relevance, credibility, and on key phrases or keywords. Search results have three main ingredients:

- Keywords
- Content on the page
- Trustworthiness of website (link popularity or domain authority)

Relevance is difficult to optimize. We don’t generally know how search engine algorithms determine relevance, and, if we did, everyone would “game” the system.

Likewise, credibility and trustworthiness are things you build and maintain over time, but also things you can lose—instantly—if you try to game the system. Links from a trusted “authority” site to your website help establish your trustworthiness. It’s worth putting some effort to encourage credible sites to link to yours, but don’t do this by promising to “swap” links; that is an old game that search engines have long ago discovered. What you do have good control over, however, is creating quality content and using effective keywords.

Effective keywords are found through research. There are many ways to go about this, and it’s often a fun and instructive exercise; you may discover new things about your content through keyword/keyphrase research. One challenge is to be specific enough that people will find your content (if the keyword is too general, your site will be buried in page rankings), but not so specific that no one will use the term (if your keyword is too specific, chances of anyone using the term might be slim). Thus, your keyword or phrase should have many people searching for it (high search volume), but you have a decent chance of ranking highly compared to other sites (low competition). How popular is the keyword? Are people searching for the phrase? How likely is your page to rank for the phrase? How “powerful” are the other sites compared to your site? Remember: too few searches on your keyword makes you invisible, and too many searches on your keyword makes your appearing in the top rankings impossible.

Two great tools to use for keyword/keyphrase research are Google’s [AdWord Keyword Planner](#) and [Google Trends](#). Google’s AdWord Keyword Planner helps you to find the keywords that are most relevant to your organization and content. It suggests keywords and phrases and shows estimates on how many people are searching for the phrase in the U.S. and around the world (monthly searches). Google Trends shows how specific words or phrases are trending over time. You can use it to compare different words or phrases, and it will also make suggestions based on your input.

Other tools to use for keyword research, especially for articles and longer-form content, are [Wordle](#) and JSTOR’s new (beta) [Text Analyzer](#). The word cloud gives more prominence or weight to the words that appear more frequently in the source text. Thus, it can help you discover words that appear more frequently in an article, which may be good terms to use in search engine optimization. Similarly, Text Analyzer allows you to upload your article or document, and the tool then analyzes the text to find key topics and terms you have used, then showing you a list of “prioritized terms.” You might try finding keywords using these tools and then validate them in Google’s AdWord Keyword Planner or Google Trends. Wordle creates a “word cloud” from text you provide.

There are many other tools for keyword/keyphrase search. Using Google Analytics, go to Traffic Sources > Search Engine Optimization > Queries. You’ll find what words or phrases are already driving traffic to your site. Using Google Suggest is also helpful; try typing some words or phrases into the Google Search box and see what it suggests.

Before you use keywords you have found, use them in a web search and analyze the results. Do you get millions of hits? If so, it's unlikely your page will rank highly. Are there numerous AdWords (paid results) on the results page? If so, others have already discovered the term.

The Use of Keywords Can Improve Discoverability

- Useful when consumer's search term is jargon, new, distinctive, specific.
- When consumer does not know exact title or author of book, or title differs from theme.
- When many different and distinctive terms describe the topic.
- When book includes topics that are outside the BISAC subjects used or consumer use terms outside metadata.

To see how your site ranks for "domain authority," type your website's URL and some of your "competition" or peers into the [Open Site Explorer](#). To use keywords or phrases effectively for SEO, they should appear in several places on your web page. Keywords should appear:

- In the **title tag**: Your web page's title tag should be written like this: Primary Keyword – Secondary Keyword | Brand Name
- In the **header**: The header, or <h1> tag, is like the subject line of your web page. Use the keyword/keyphrase only once in the h1 tag.
- In the **body text**: Use keywords four to six times. Don't abuse it, though; you also want the content to be interesting for people to read! (Note: if you have used your website/content in Wordle or Text Analyzer, you already know they are in the body text.)
- In **internal links**: Links from your page on other pages of your website (see below).

Choosing a Set of Effective Keywords

- Be **specific**, but not so specific people won't use the term.
- Choose **unique** and **relevant** keywords.
- Avoid terms already in title, etc.
- Choose **consumer-oriented** keywords.
- Single words and phrases of 2–5 words are acceptable.
- Use as many synonyms as appropriate.
- **Prioritize**. 500-character max recommended, but not all vendors use the entire field.
- Semicolons instead of commas are preferred, and best with no spaces.

Write robust meta descriptions. Meta descriptions are the brief descriptions that appear under search results to describe the web page. These are also known as snippets. You control this in your CMS, in WordPress, for example. Add the meta description in the <head> section of your site's HTML. Be concise; under 156 characters is best, otherwise the rest of the description will be cut off. While not as critical for rankings, they are extremely critical in encouraging users to click through from the results page to your website. Use keywords, and make sure the description is compelling and relevant enough to that someone would want to click on.

Make your content unique and relevant. (Of course, you would do this anyway, right?) You want to create links to your content from other pages on your site (and, as much as possible, encourage other relevant sites to link to your content). It is important, however, not to duplicate content from one page or site to another. For example, if you send out a press release, be very wary of including that press release on your website. If your press release gets picked up—verbatim—by other sites, search engines such as Google will determine that you have duplicate content and you may be penalized for it.

Internal linking (linking from words or phrases on one page to another page on your site) also helps SEO. Internal linking helps strengthen keywords internally for those pages; it tells search engines that page is relevant for the term. Use anchor text (keywords) for links, not phrases like “click here for more information.”

Use alt tags and file names for images, videos, and other multimedia. All images should have alt tags; this is good for SEO, but also necessary for web accessibility (discussed more below). For people using assistive technology, such as a screen reader, alt tags allow them to hear the image described. Use keywords/keyphrases when naming images, if appropriate, but again, don’t overdo it. Image file names should also use keywords to be more SEO friendly. Image search is widely used and growing widely, thus increasing search traffic from these sources is worth your effort. Name images in a way that describes them accurately, avoiding non-alpha characters (&, \$, @, #, etc.).

Effective use of social media may also increase your website’s visibility and trustworthiness. Make sure that at least some of your tweets, blog posts, and Instagram posts link to relevant content on your website and vice versa. Have a consistent presence on the social media channels where your audience may be, create quality content on these channels, and engage in a conversation with your audience, interacting with people in a genuine, friendly, helpful, entertaining manner. In short, add value to the conversation.

Sample Metadata

Title: A Dance with Dragons

Author: George R. R. Martin

ISBN: 9780553801477

Series: A Song of Ice and Fire (Book 5) BISAC Subject Headings: FIC009020; FIC002000; FIC028010

Keywords: Game of Thrones;kingdoms;kings;magic;dragons; HBO series;medieval;saga;Targaryen

Description: In the aftermath of a colossal battle, the future of the Seven Kingdoms hangs in the balance—beset by newly emerging threats from every direction. In the east, Daenerys Targaryen, the last scion of House Targaryen, rules with her three dragons as queen of a city built on dust and death. But Daenerys has thousands of enemies, and many have set out to find her. As they gather, one young man embarks upon his own quest for the queen, with an entirely different goal in mind.

Accessibility

Principles and practices of accessibility for publishers could comprise an entire module or course on their own. Here, we will introduce basic accessibility considerations including best practices for accessible web publications, compliance with Americans with Disabilities Act (ADA) and section 508, and principles of universal design. We will also briefly touch on user experience (UX) design, a process that can help publishers develop products that meet the needs of a range of users.

Accessibility refers to the practices that ensure all audiences can use your content, access your platform, and benefit from your publications. Accessibility efforts work toward ensuring that everyone, regardless of special needs, disability, socio-economic background, etc., can use and benefit from your products, devices, services, or environment. Making content accessible has commercial, ethical, and legal ramifications.

Library publishers are often constrained by limited resources, including staffing, budgets, and software/platforms; however, steps to move forward towards increased accessibility of your content benefits all readers. Become an advocate for accessibility, provide a way to be contacted on your website with inquiries relating to accessibility, and take time to personally understand the issues and options for accessibilities. Working toward implementing more advanced digital workflows will enhance your opportunities for accessible publishing.

Making content more accessible opens your content to more readers, reaches underserved audiences, and makes your content more user oriented. From an ethical standpoint, all people should be able to read the same digital content. Readers who need to use assistive technology should not need to endure the long delays and expenses often required to get the books they need. In educational settings, access is especially critical. Publishers make their books better for all users when they include best practices for accessibility in editorial and production workflows.

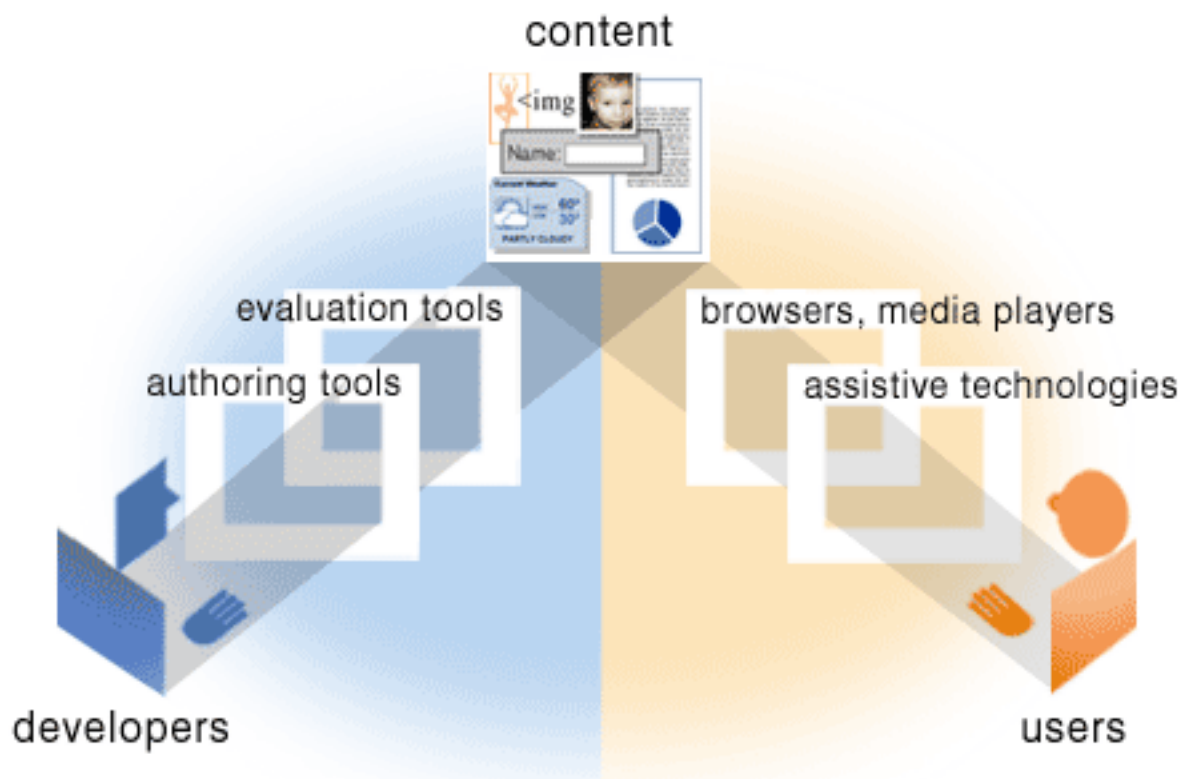


Figure 4.6: Making Your Content Accessible. A diagram showing what tools developers can use to make their content accessible to all users.

Applying best practices for accessibility specifically enables those with vision, hearing, and other disabilities to engage with your content. Audiences with print impairments represent a large and growing demographic. According to the Accessible Books Consortium’s [“Best Practice Guidelines for Publishers,”](#) 10 percent of people in the developed world and 15 percent in the developing world have some degree of difficulty reading print. Requirements for individual readers vary greatly depending on their abilities and preferences and whether they use assistive technologies, software, or devices that help individuals with disabilities perform activities in their daily lives. Assistive technologies relevant to publishers include screen readers and screen magnification software, among others.

Broadly speaking, an accessible product is “one which offers the maximum flexibility of user experience for all readers and allows the content to be accessed and manipulated with ease by those with or

without disabilities.” This may mean a large-print PDF is suitable for one person, a highly structured EPUB3 file that can be used with text-to-speech software is required by another reader, while a third reader may prefer a braille edition.

Applying accessible web standards provides a clear benefit for those with print or other impairments and helps publishers and educational institutions meet their legal obligations. In the United States, publishers and suppliers of digital content are required to meet certain standards for displaying text online to be eligible for purchase or licensing by public institutions. Accessibility for impaired and disabled readers includes access to full text Section 508-compliant, meaning compliant with [Section 508 of the Rehabilitation Act of 1973](#) as amended in 1998 (29 U.S.C. § 794d). Educational institutions must provide accessible versions of content for students with disabilities. The process of converting inaccessible content into formats that the student can use can cause delay, inconvenience, and disruption to their learning activities.

Fortunately, publishers can deploy a range of tools and techniques to make their content more accessible to readers, particularly those who use assistive technology. Here are a few tips to get you started creating accessible files and web pages:

- **Use structural tags:** XML and HTML files, among other file types, support the use of tags that identify major structural elements within a text file and/or a web page (e.g., header and footer, headlines, paragraphs, lists). Using structural tags allows readers using assistive technologies to identify and navigate between different sections of content.
- **Provide alternative descriptions for images and video:** Use the “alt text” tag to provide descriptions that explain illustrations for readers with reduced access to graphic information. Images, graphs, and diagrams are described in extended captions, with body text, or in an alt text description.
- Provide captions for audio and video.
- **Make accessible graphic design choices:** Font size, style, and color impact the reading experience. Choose high-contrast colors to make sure text doesn’t blend into the page background. Make sure readers have the ability to adjust the font size (most browsers automatically support this for HTML pages) and include typefaces specially designed for readers with visual impairment, helps those with dyslexia, age-related macular degeneration, or other impairments. Sans serif typefaces are generally a safe choice. Pay attention to spacing, alignments, and other visual aspects of how a text appears on the page.
- **Use accessible file formats:** Publishers use a range of file formats, some more accessible than others. Text-based formats (such as HTML) are generally more accessible than formats optimized for print (such as PDF). No format, however, is automatically accessible. If you apply digital rights management (DRM) to a title, ensure that the DRM doesn’t reduce the title’s accessibility. DRM often restricts technologies that promote access and prevents visually-impaired users from reading the content of protected titles.
 - *Microsoft Word:* Word files allow elements of structure, content, and appearance, making them generally accessible to print-impaired readers (with some work on the part of the creator). However, it may be difficult for publishers to provide as the original Word files go through editing and design into other formats, requiring the creation of a final Word file at the end of the process.
 - *PDF:* Often the least accessible format, as they generally lack structural and semantic tagging. Image-rich texts especially are problematic. Instead of providing print-ready PDFs, publishers should opt for interactive PDFs, which are generally more navigable

and include structure. However, even interactive PDFs have serious limitations that may create challenges for readers trying to use them with assistive technologies.

- *HTML*: HTML can be one of the most accessible formats. It works well with many assistive technologies, can be dynamically formatted in a web browser, and can include structural tags that facilitate navigation. Designing accessible HTML requires effort and adherence to guidelines.
- *XML*: Raw XML files, which reveal the markup structure of text files like eBooks, meet many user requirements in terms of structure, but are designed for machine-reading, not human readers. A variety of XML standards exist to help publishers optimize their XML files for accessibility. For example, publishers can use the DAISY, or [Digital Accessible Information Systems](#) standard, to make their XML files compatible with a variety of assistive technology for readers with visual impairments.
- *EPUB/EPUB3*: Perhaps the most widely-used eBook format, EPUB3 can be an accessible format. Almost all e-reader devices support EPUB (except the Amazon Kindle, which uses a the proprietary MOBI format). EPUB3 includes features that improve navigation and accessibility, including structural markup and the ability to include pre-recorded speech synchronized with the text (“media overlays”). EPUB3 permits accessible video, mathematical, and technical content as well as interactivity. It has been adopted as the preferred format by the DAISY Consortium.
- *Design files*: File types generated by software, such as InDesign, that publishers use for layout enables the creation of the type of structured content required for use with assistive technologies. These files may be useful for intermediaries, such as content conversion companies, but are not generally suitable to provide to end users, who may not have access to the proprietary software needed to read them.

Web Accessibility Guidelines

Four principles and twelve guidelines provided by the [Web Accessibility Initiative](#) comprise the foundation necessary for anyone to access and use content. [Web Content Accessibility Guidelines](#) (WCAG 2.0) advise that content should be:

1. **Perceivable**: Information and user interface components must be provided to users in ways they can perceive. Users must be able to perceive the information being presented (cannot be invisible to all of their senses).
 - a. Provide text alternatives for any non-text content so that it can be changed into other forms people need, such as large print, braille, speech, symbols or simpler language.
 - b. Provide alternatives for time-based media, such as alternatives for audio-only and video-only pre-recorded media, including captions or alternative formats.
 - c. Create content that can be presented in different ways (for example, simpler layout) without losing information or structure. For example, information, structure, and relationships conveyed through presentation can be programmatically determined or are available in text.
 - d. Make it easier for users to see and hear content, including separating foreground from background. For example, color is not used as the only visual means of conveying information, indicating an action, prompting a response, or distinguishing a visual element.
2. **Operable**: User interface components and navigation must be operable. Users must be able to operate the interface (cannot require interaction that a user cannot perform).
 - a. Make all functionality available from a keyboard.

- b. Provide users enough time to read and use content. For example, if there are time limits set by the content, users should be able to turn off, adjust, or extend the time limit, or to be able to pause, stop, or hide content that is moving, blinking, or scrolling.
 - c. Do not design content in a way that is known to cause seizures. For example, web pages should not have any element that flashes more than three times in any one-second period.
 - d. Provide ways to help users navigate, find content, and determine where they are. For example, a mechanism to bypass blocks of content repeated on multiple web pages should be available, pages should be clearly titled, components should receive focus in an order that preserves meaning and operability, and the purpose of each link should be understandable from the link text.
- 3. **Understandable:** Information and the operation of user interface must be understandable. Users must be able to understand the information as well as the operation of the user interface (cannot be beyond their understanding).
 - a. Make text content readable and understandable. For example, unusual words such as jargon, or abbreviations, should include a mechanism that provides definition or meaning.
 - b. Make webpages appear and operate in predictable ways. For example, navigation elements should be consistent on websites with multiple pages.
 - c. Help users avoid and correct mistakes. For example, checks for input error are described to the user, and instructions for user input are provided.
- 4. **Robust:** Content must be robust enough that it can be interpreted reliably by a wide variety of user agents, including assistive technologies. Users must be able to access the content as technologies advance (as technologies and user agents evolve, the content should remain accessible).
 - a. Maximize compatibility with current and future user agents, including assistive technologies.

Users with disabilities may not be able to use your website if you do not adhere to these principles. As we will discuss later, when we cover the topic of universal design, many or all of these guidelines will improve your website for all users, regardless of ability.

Publishers can take advantage of a number of tools to determine whether their publications adhere to best practices, including the [ACE Accessibility Checker](#) for EPUB files from the Daisy Consortium. The WC3's Web Accessibility Initiative provides a number of useful tools and frameworks for [evaluating accessibility](#) of websites.

Examples of Accessibility in Open Publishing Initiatives

The University of Michigan Library and the University of Michigan Press have positioned themselves as leaders in accessible publishing. The library has a formalized [Diversity and Inclusion Strategic Plan](#), which they have actualized through a variety of initiatives. Three examples of their work are discussed here.

The University of Michigan Press and Michigan Publishing, the library's publishing division, have taken action to address eBook accessibility. They developed an eBook accessibility task force on campus and issued a statement of [commitment to accessibility](#), publicly endorsed the Society for Disability Studies [Accessible Publishing Guidelines](#), and piloted new guidelines for titles in their [Corporealities: Discourses of Disability series](#).

In April 2015, the University of Michigan Press received a three-year [grant from the Andrew W. Mellon Foundation](#) to build a new publishing platform for digital scholarship. The [Fulcrum](#) platform's guiding design principles include accessibility for partially-sighted readers and readers with varied learning styles.

With support from the Samuel H. Kress Foundation and leadership from accessibility specialist Stephanie Rosen, The University of Michigan Press and the library convened 30 national experts—from academic and museum publishing, art history and visual studies, disability studies and accessibility, and the cultural heritage fields—to develop the [Describing Visual Resources Toolkit](#), a suite of tools designed to help authors, publishers, editors, and arts organizations learn how best to describe visual resources in arts and humanities publications.

Universal Design

Universal design (UD) provides a framework for thinking about some of the less technical aspects of accessibility. UD emerged during the 1960s as part of disability rights movement, although there are earlier precedents. The goal of UD is to remove barriers, to ensure equal opportunity for everyone, and eliminate discrimination based on disability. This is a worldwide movement and involves everything from buildings to appliances, personal devices, and much more. For people with disabilities, the very design of environments and technologies can be part of the discrimination process, or designs can be built for inclusivity and accessibility.

UD refers to “the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design.” Hard-wired into this definition is the assumption that people with disabilities should not need different accommodations, such as a separate entrance to a building. UD provides a framework for enacting the values of diversity, equality, and inclusivity. Another core principle of UD asserts that design principles that help those with disabilities invariably benefit all users. A classic example is curb cuts into sidewalks, which were originally designed to make sidewalks and streets more accessible to those using wheelchairs. These provide great benefit to a variety of pedestrians, such as children on skateboards, bicycle riders, parents with baby strollers, and people making deliveries with handcarts. The Center for Universal Design at NC State developed seven principles and guidelines for UD, including:

- **Equitable Use:** The design is useful and marketable to people with diverse abilities.
- **Flexibility in Use:** The design accommodates a wide range of individual preferences and abilities.
- **Simple and Intuitive Use:** Use of the design is easy to understand, regardless of the user's experience, knowledge, language skills, or current concentration level.
- **Perceptible Information:** The design communicates necessary information effectively to the user, regardless of ambient conditions or the user's sensory abilities.
- **Tolerance for Error:** The design minimizes hazards and the adverse consequences of accidental or unintended actions.
- **Low Physical Effort:** The design can be used efficiently and comfortably and with a minimum of fatigue.
- **Size and Space for Approach and Use:** Appropriate size and space is provided for approach, reach, manipulation, and use regardless of user's body size, posture, or mobility.

For each principle, the authors propose a number of concrete suggestions for implementation.

User Experience Design

User experience (UX) design refers to a suite of techniques and practices for iterative service and product development that centers users and their needs, values, and abilities. UX design requires an understanding of users in the target demographic. UX designer Peter Morville developed the user experience honeycomb to denote when information is meaningful and provides a valuable user experience. Facets of user experience include the following.

- **Useful:** Is your product useful? Does it meet users' needs? Does it provide a novel and effective solution?
- **Usable:** Is your product easy to use? For whom? Is it easy to use regardless of ability?
- **Desirable:** Do users want your product?
- **Findable:** Is your product easy to find? Can users successfully navigate your website? Can they discover your product through other channels?
- **Accessible:** Can people with disabilities use your product?
- **Credible:** Do your users trust and believe you? Design elements influence whether users find your product credible.
- **Valuable:** Does your product deliver value users? Does it advance your mission?



Figure 4.7: The UX Honeycomb. A diagram designed by Peter Morville showing the important aspects associated with user experience.

To center user needs in the design process, UX designers often use personas, descriptions of imaginary users who manifest the needs, interests, and values uncovered during the user research phase. Personas give designers a concrete example they can use think about how a product or service meets the user's needs, how an individual navigates or uses the product, or how it fits into their daily life. Personas should represent a variety of target audiences.

Usability testing is a key component in UX design and should occur as early in the design process as possible (i.e., as soon as you have a mock-up or prototype). The use of personas cannot replace tests with real people. Library publishers may have access to usability testing experts and equipment on their campus.

Universal Design for Learning (UDL) is the application of the concepts of UD and UX to learning experiences and materials. Principles of UDL can be applied to creating open educational resources (OERs) and other published learning materials that meet the needs of diverse learners. Learning style diversity is the norm in schools and universities, not an exception. UDL emphasizes flexibility in goals, materials, and assessments in order to meet varied student needs. [CAST](#) and the [National Center on Universal Design for Learning](#) provide useful guidelines for UDL (available in a variety of languages and formats).

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Unit 5: Outreach, Engagement, and Collaboration for Impact

Library publishing programs and university presses frequently conduct outreach to reach new and existing audiences. These programs also seek to engage with communities of interest, including the campus community, local communities, and global communities of scholars or others.

What is the difference between outreach and engagement? One way to distinguish the two is to consider that outreach is done “to,” “at,” or “for” specific audiences, while community engagement is done “with.” These audiences or communities may be the same, or they may be different. For examples, library publishing programs may engage with one group, such as a Center for Faculty Excellence, and conduct outreach to a different audience, such as young faculty. Although some of the literature on outreach and engagement may imply that outreach is the lesser of the two, the reality is that strategies for both outreach and engagement may be equally important or valid, depending on your goals and objectives. In addition, it is unlikely, in most circumstances, that you will be able to “engage” with a community without first conducting outreach to stakeholders or members of that community.

Community outreach and engagement are part of a portfolio of strategies and tactics that are used to achieve the goal of extending the impact of publishing organizations, publication portfolios and series, or individual publications.

Community engagement—interaction or collaboration *with* a community of interest—involves reciprocity and considerable two-way communication. Outreach—activities designed to reach a community—may involve one-way communication. Nevertheless, both approaches require understanding of the intended community or audience’s needs and consideration of what messages, avenues, and resources may be needed to interact with, serve, and collaborate with the intended community or audience. These activities exist along a continuum.

Going back to the strategic goals we developed and discussed in Impact Unit 2, what are the audiences and/or stakeholders that are articulated in the goals? Which of these audiences or stakeholders are within the university community? Which are local, national, or global? How do our assessment strategies and measures, developed and discussed in Impact Unit 3, tell us when we will or have achieved success with these audiences or stakeholders? What other audiences or stakeholders do we want to reach or engage with? How can these be incorporated into our goals and assessment measures? As we will see, outreach and engagement strategies will also have significant overlap with other promotional and social strategies that we discuss later on in this module.

What You Will Learn

- How to conduct a stakeholder analysis and a campus publishing inventory
- How to develop and evaluate successful strategies and tactics for increasing outreach and engagement with the university community
- How to identify ways of building visibility and engaging with the broader local/global community
- How to promote inclusivity for underrepresented and diverse voices

Stakeholder Analysis

A good place to begin, before we articulate specific strategies for outreach and community engagement, is how to conduct a stakeholder analysis. A stakeholder analysis involves two (or more) components: first, assessing who are your various stakeholders, and second, determining the level of power and interest for approval or informational purposes. Other assessments can be utilized as well, as discussed below. The ultimate goal of this analysis is to determine and plan how different stakeholders can be reached and engaged by our organization.

The first step is to create a map of relationships. Relationships include reporting relationships (for example, you may report to the Dean of Libraries, who in turn may report to the Provost), service relationships (i.e. student journals), planning and development relationships (i.e. Center for Faculty/Teaching Excellence, Online Learning), and production relationships (i.e. printers, website developers, etc.). Stakeholders may include audiences you want to reach and influence (through outreach) as well as possible development partners (via community engagement).

Stakeholders will vary considerably, depending on the size, structure, and goals of the organization. In addition, as we will see below, stakeholders may be positive, negative, indifferent, and ambivalent. Importantly, stakeholders may, and generally will, include both organizations and people. Ultimately, however, our relationships and communication will involve people. Thus, we need to make sure that we identify the appropriate individual stakeholders within a stakeholder organization.

The following two diagrams illustrate examples of a stakeholder map for a library publishing organization and a university press. How are they alike? How do they differ? How might these similarities and differences affect different outreach and engagement strategies by each organization?

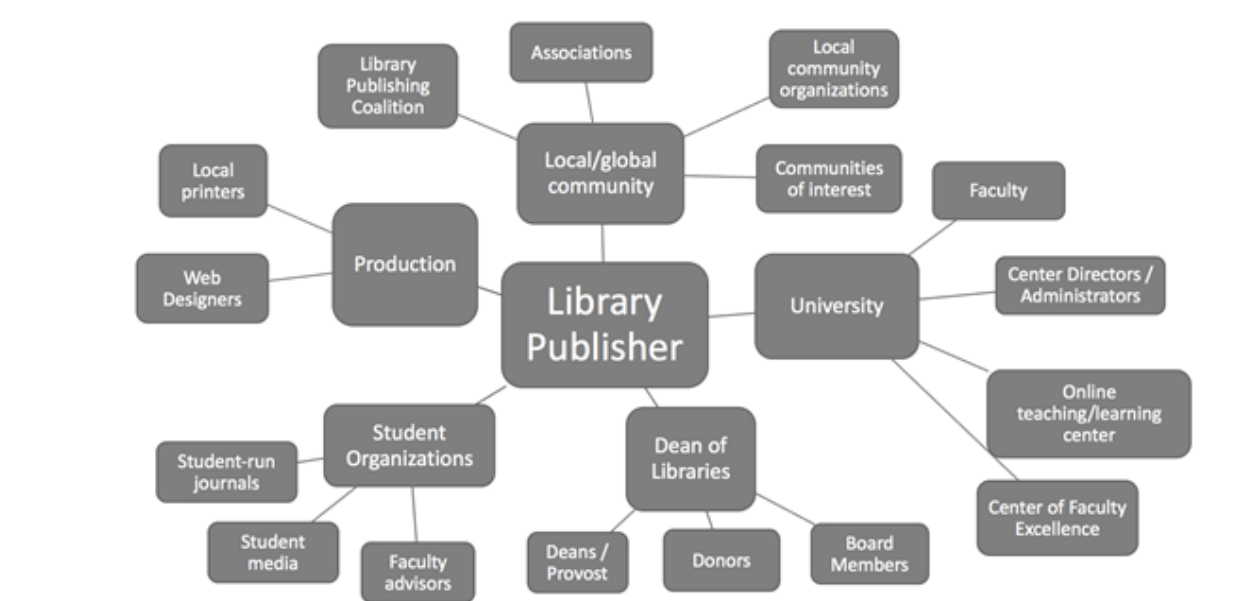


Figure 5.1: Sample Stakeholder Map for Library Publishers. A diagram that shows stakeholders for library publishers and the relationships these stakeholders have with one another.



Figure 5.2: Sample Stakeholder Map for University Presses. A diagram that shows stakeholders for university presses and the relationships these stakeholders have with one another

Keep in mind: not all stakeholders are equal. Some stakeholders may have the power either to block or advance your initiatives and even your organization. Some stakeholders may have a high level of interest in what you are doing and what you hope to achieve; others may not care. In order to determine relative power/interest, we map stakeholders on a power/interest grid.

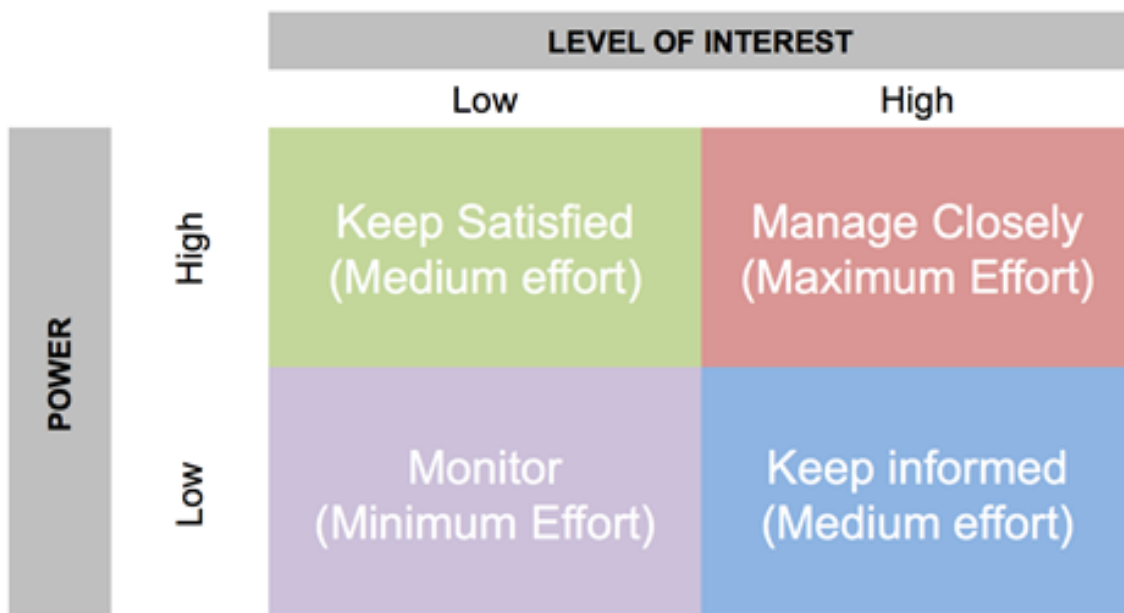


Figure 5.3: Power/Interest Grid for Stakeholder Prioritization. A graph that shows how publishers can determine their prioritization of certain stakeholders.

Where a specific stakeholder lies on this grid helps you to understand what actions you should to take with them, as well as how much they may be engaged with your organization. For example:

- **High power, highly interested:** These are the stakeholders which you must manage closely. This will take effort and potentially resources, but will offer opportunities to fully engage.
- **High power, less interested people:** These stakeholders require some effort to keep satisfied, but not so much that they become bored with your message. They may provide opportunities for engagement, but more often outreach efforts will suffice.
- **Low power, highly-interested people:** These stakeholders should be adequately informed, and communication efforts are important to ensure that no major issues are arising. These people can often be very helpful with the detail of your project; they may be engaged, for example, with shorter-term projects or publications.
- **Low power, less interested people:** These stakeholders should be monitored (for example, you don't want them working actively against you). Outreach efforts should reach them, but you do not want to overwhelm them with excessive communication.

After you have conducted a stakeholder map and have analyzed where your stakeholders lie on the power/interest grid, spend some time thinking through your approach to each stakeholder. How much time and what other resources you should devote to each stakeholder will depend on your goals and objectives, on the size and complexity of your projects, on how much help you may need to achieve your desired results, and on what possibilities exist for engagement.

Activity: Brainstorm!

- Brainstorm as many stakeholders of a library publishing program as you can. Record each stakeholder on a sticky note.
- Using flip charts, paper, or a whiteboard, map out the relationships between stakeholders, organizing them into broad categories, as in the examples.
- Select two of the stakeholder groups you identified and answer the following:
 - What factors motivate this stakeholder?
 - What does this stakeholder want and expect from your organization?
 - What financial, emotional, or other interest(s) does each stakeholder have in your work?
 - Who influences their opinions? Specifically, who influences their opinion of you?
 - Does this stakeholder have any reason to mistrust or not support your work?
 - What might make this stakeholder more supportive of or engaged in your work?
 - How essential is this stakeholder group to the success of your organization?
 - What are effective ways to communicate with this stakeholder?
- Use the power/interest grid to assess the relative power and interest of the two stakeholders you selected.

Outreach to or engagement with stakeholders may help you achieve organizational goals and provide help with specific projects. For example, a stakeholder relationship may include sponsorship of the project, advice and expert input, peer reviews, support with events and outreach to reach other stakeholders and audiences. Answers to some of these questions will help you understand your stakeholders and determine what approach(es) should be taken to engage with them:

- What financial or emotional interest does this stakeholder have in the outcome of your work? Is it positive or negative?
- What motivates them?

- What do they want from you (information, resources, other)?
- What is the best way of communicating with them?
- How do they feel about your organization and your work? Is their opinion based on objective information, or rumors and innuendo?
- Who influences their opinions? Specifically, who influences their opinion of you? (These influencers are likely to be stakeholders.)
- If the stakeholder is already supportive of your efforts, what can you do to win their support of your organization or project?
- If you can't or are unlikely to win their support, how can you manage their (possible) opposition?
- Who might be influenced by their opinions? (Are these also stakeholders?)

Another interesting way to consider stakeholders is by their level of positive or negative influence (either actual or potential). Not all stakeholders are watching out for your back; some may be waiting to stab you in it. In *The Godfather, Part II*, the character Michael Corleone says, “My father taught me many things here—he taught me in this room. He taught me—keep your friends close but your enemies closer.” (This maxim has been misattributed to various sources, including Sun Tzu and Niccolò Machiavelli, which speaks to its universality.)

In *Originals: How Non-Conformists Move the World* (2016, 128-129), Adam Grant provides a grid for mapping relationships. Some may be wholly negative (our enemies) or wholly positive (our friends), but some connections or stakeholders may be both positive and negative, which are ambivalent relationships, or “frenemies,” that sometimes support you and sometimes undermine you. Knowing where our supporters are and our competition or enemies lie is one thing, but it will also be helpful to know those relationships we need to work on to move towards indifference or ambivalence toward support.

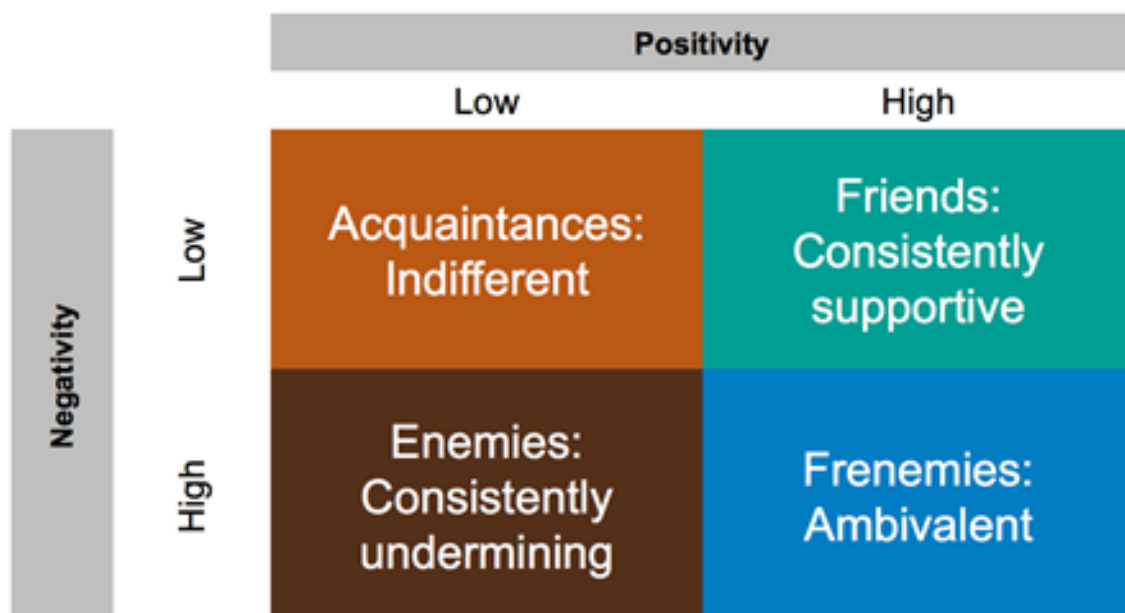


Figure 5.4: Grid for Stakeholder Positivity and Negativity. A graph that shows how publishers can determine their relationships with certain stakeholders.

As you assess your stakeholders and plan strategies for outreach and engagement, consider which are advocates, supporters, neutral, critics, or blockers.

Working with stakeholders on outreach and moving toward engagement involves knowing where interests intersect. For this, we can envision different stakeholders with a Venn diagram (see Figure 5.5). For example, let's say one of the strategic priorities and goals of your library publishing program is to "assist faculty in publishing open educational resources (OERs)." This may provide an opportunity to engage with the university's Center for Teaching and Faculty Excellence and the university's Online Teaching and Learning office to work toward the funding and development of OERs across the campus.

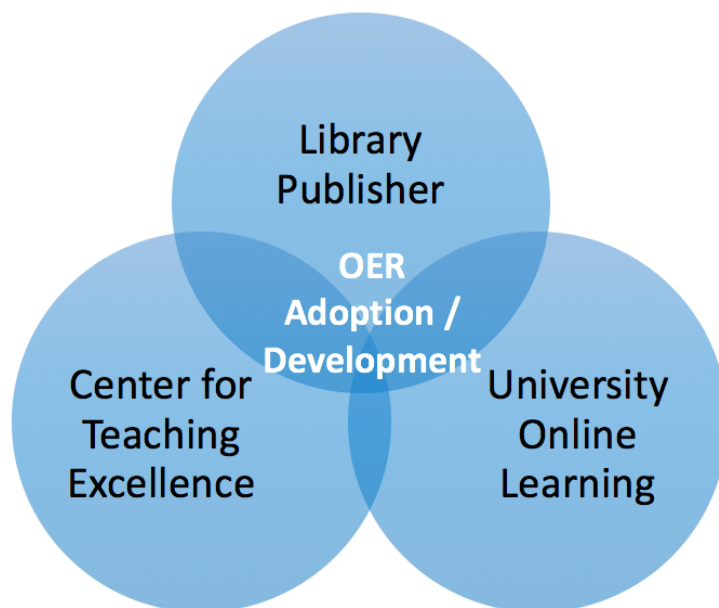


Figure 5.5: Stakeholder Interests. A Venn diagram showing how intersecting interests between publishers and stakeholders can lead to the funding and development of certain projects.

Identify what messages you need to convey to your stakeholders to persuade them to support you and engage with your projects or goals. Knowing the areas of intersecting interests will help in this effort. Your efforts will likely begin with outreach. Messages to key stakeholders should demonstrate the benefits to the person or organization of what you are doing and should focus on key metrics (see Unit 3).

Consider what you need to do to obtain the support of these stakeholders. Considering that time and resources are generally limited, how you will manage communications with and input from your stakeholders. First, focus on the high-power/high-interest stakeholders, then work toward strategies for high-power/low-interest, then low-power/high-interest, and, finally, the low-interest/low-power stakeholders. Work on an outreach plan that communicates with your stakeholders as effectively as possible. You need to communicate the right amount of information, but your goal should be to neither under- nor over-communicate with your stakeholders.

Conduct a Campus Publishing Inventory

As we consider what communities we want to engage with and what audiences we want to target with outreach activities, it's crucial to understand not only our existing stakeholders but other possible communities of interest.

A component of your stakeholder analysis, or a complement to it, is a campus publishing survey to identify what other groups are already publishing on campus, what centers or departments have publishing needs, etc. Start with what you already know: publications that you may be assisting with or providing services to at your university. Academic library publishers often focus on providing publishing services to their university community. These publishing services may include hosting or managing faculty- and student-led journals, publishing OERs, managing a digital repository, and/or publishing books, textbooks, workbooks, whitepapers, and other publications. Expand the inventory by surveying or talking one-on-one with department chairs, faculty excellence or teaching centers, the campus writing center, and other stakeholders on campus. Subject librarians or liaisons are an excellent resource; they often know about publishing projects that exist or are in the works. Some of the objectives of your campus publishing inventory might include:

- Identifying student groups that have an interest in starting a new journal or other publication.
- Identifying existing campus journals or other publications that don't have an online presence. For example, a campus literary magazine comes out as a quarterly print publication but has not used an online journals system such as Open Journals System (OJS) that your publishing organization supports.
- Identifying research centers, workshops, seminars, and conferences that would like to archive their work. For example, an annual faculty teaching and learning conference has a website for each year's conference but does not archive each year's conference abstracts and presentations.
- Identifying faculty members and graduate students who are actively publishing articles but are not archiving material in the institutional repository.
- Identifying student groups from underrepresented and diverse voices (see below) that may have an interest in publishing or archiving publications.

You may want to expand the campus publishing inventory to the local community if engagement with the local community is part of your mission and goals.

As you conduct your campus publishing inventory, you will be working toward outreach and engagement strategies. Develop a method to track your progress in communication efforts with your stakeholders and other communities of interest. The MindTools website provides a [Stakeholder Communications Worksheet](#) that is useful in monitoring and measuring your work on identifying, communicating with, and engaging with stakeholders. Columns include stakeholder name, your communications approach (derived from the stakeholder analysis and power/interest grid), key interests and issues, status (advocate, supporter, neutral, critic, blocker—use the positivity/negativity grid, above), desired support, desired project role, actions desired, messages needed, and action and communication. Use this worksheet to convert goals into actions and monitor progress as you work with different stakeholders.

Activity: Conducting a Campus Publishing Inventory

Select a university and conduct a preliminary campus publishing inventory using web research. Make a list of all the current campus publications they can identify and any key opportunities for partnerships. Suggestions for getting started:

- Search departmental and faculty websites
- Examine the institutional repository
- Look for research centers and institutes
- Identify student groups that produce research or creative work

- Look for campus-based conferences or symposia
- Search for a university press
- Search for local cultural heritage institutions

Moving Toward Engagement

It's important again to stress that there is nothing wrong or negative about outreach. Again, it depends on your goals and objectives as well as partnerships and resources. It's highly likely that you may engage with one community or organization and conduct outreach to another audience or community, perhaps regarding the same project or publication.

Outreach is generally associated with the dissemination of information to audiences. This dissemination of information make take on many forms, such as events, conferences, brochures, social media, publicity, among others. Communication is typically one-way rather than an exchange, although feedback may be sought as a part of outreach. Engagement implies a partnership (typically on-going but potentially project-specific). Communication involves a two-way exchange of information, ideas, and expertise, and decision-making is shared.

[“Distinguish Your Work: Outreach Or Community Engagement? An Assessment Tool”](#) by Building the Field of Community Engagement partners and Tracy Babler (2014) provides an assessment tool and checklist for determining where your organization lies on the spectrum of outreach and community engagement. (The checklist has been adapted for this unit. Click [here](#) for an interactive version of the below worksheet.)

Outreach	Unsure which we are doing	Primarily doing outreach	Beginning to move toward CE	Moving toward CE	Doing CE	Community Engagement
What kind of relationship do we have with community members?						
Relationships primarily transactional for purposes of completing a project						Relationships primarily foundational, continually built between people and groups
Relationships may not be inclusive of all racial and cultural groups in community						Relationships reflect diversity of community
Relationships may be limited to a few members						Relationships not just built with current leaders but with those with potential to become leaders
Relationships primarily short-term, ending when project is complete						Relationships are long-term, members engage in projects as they emerge
Why are we collaborating with people?						

To accomplish a project or a specific goal						To create spaces to connect and pursue mutual interests
Publications or portfolios are created for and promoted to specific audiences and community members						Publications or portfolios are developed in collaboration with community members
To seek buy-in or approval for an already planned project						To create space for a community's assets to be recognized and developed
How are we getting people involved?						
Primary activities include flyers, surveys, focus groups, workshops, events						Primary activities include listening sessions, one-on-one meetings, celebrations, community-developed projects
Information is given or feedback sought after a project is planned						Planning is done with the community from the beginning
Social media and social networking are used to broadcast messages						Social strategies are implemented and involve community members
How are ideas getting generated?						
Staff/organization generates ideas they think the community needs or will support						Staff/organization support community members to generate own ideas; develop ideas collaboratively
Staff/organization generates solutions to a problem they have defined						Staff/organization engage in self-reflection and collaboration to identify problems and generate solutions
How do our organizational structures and policies support outreach and engagement?						
Organizational culture is primarily oriented toward achieving specific and short-term outcomes						Organizational culture is primarily oriented toward learning and long-term outcomes
Organizational management/staff may						Organizational management/staff reflect the community

not represent community						
Policies and structure are organization-driven						Policies and structure respond to community needs and ideas

Figure 5.6: Outreach and Community Engagement Assessment Tool for Library Publishing/University Press Publishing. A worksheet that publishers can use to determine specific outreach and community engagement.

Engaging with Underrepresented and Diverse Voices

You may find that some of the potential stakeholders for your library publishing program may include traditionally underrepresented and diverse voices. These stakeholders may fall in the low power/high interest category of your stakeholder analysis. Creating and implementing a culturally responsive, inclusive engagement strategy is complicated, however. For example, you may not have staff that reflect the underrepresented and diverse community.

When conducting outreach and working toward engagement with an underserved community, library publishers need to take steps to avoid (or being perceived by local stakeholders as participating in) tokenism, which is making merely symbolic or perfunctory efforts of inclusivity and engagement. Your efforts should include multiple visits and listening sessions, open, two-way dialogue, and a focus on intersecting interests.

It's important to invest time in learning about the needs of the stakeholder(s) you are serving or seek to serve. Spend some time researching and gathering knowledge about what other organizations and stakeholders are doing. Examine what seems to be working and use this knowledge to develop mutually beneficial goals and objectives.

Within your library, all subject librarians or department liaisons may have knowledge of underrepresented and diverse groups and voices, but some subject specialists within your library may have especially strong connections to these communities, such as those in international studies, women's studies, gender studies, multicultural studies, accessibility specialists, and so on. These contacts are good places to start gathering knowledge about potential partnerships.

A good place to start outreach efforts might be offering to present a workshop on "how to get your journal article published" for undergraduate or graduate student groups that include underrepresented and diverse communities, or "how to start a journal" with some of your existing journal's editorial staff on hand to answer questions. Consider having an "open house" for your publishing program, and invite student interest groups. These activities might present an introduction to further opportunities for collaboration. Another step might be to introduce members of these groups to opportunities available in your publishing program, such as graduate research assistance, internships, and editorial committees of your published journals.

Engaging with underrepresented and diverse communities is not an accidental, haphazard activity. To be successful, these efforts need to be hard-wired into our strategic goals and objectives.

For example, the University of Michigan Library, aligned with the university's strategic plan on diversity and created its own [Diversity, Equity, Inclusion & Accessibility Strategic Plan](#) (2015-16). The two strategic goals under the domain of Education and Scholarship are:

1. Actively encourage scholarship in areas related to diversity through the University of Michigan Press publishing program building on our strong base in disability studies.
2. Accelerate self-agency through outreach, programs, events, and services responsive to learner and scholar needs.

This reminds us, again, of the importance of aligning our library publishing program's strategic goals to the university's and the university library's strategy. Also, note how "building on our strong base in disability studies" would emerge out of a stakeholder analysis and campus publishing inventory. In the University of Michigan Library's diversity and accessibility plan, a list of several activity highlights and outcomes from these goals follows, including [Student Engagement Mini Grants](#). Examples of [projects](#) are archived in the institutional repository, Deep Blue.

Another example of outreach and engagement with diverse communities, in this case the Global South, is provided in "Stories and Statistics from Library-led Publishing" (2015), wherein Casey Busher and Irene Kamotsky from bepress illustrate library-led journal publishing. *Tipití*, the official Journal of the Society for the Anthropology of Lowland South America (SALSA), founded in 2003 as a print-only, subscription-based publication, moved in 2011 to also provide an online version with the library publishing program at Trinity University in San Antonio, Texas. The journal first kept recent issues under embargo (subscription only), providing backlist as open access, and their impact began to grow dramatically in terms of downloads. As the society's goals included advancing international dialogue and action on issues relating to lowland South America, especially with researchers at institutions in South America (who may not have funds for an institutional subscription), the journal moved to fully open access in 2013.

Tipití moved from a small, niche journal into a resource and a forum for authors from all over the Americas as well as Europe. The shift from subscription to fully open access "allow[ed] the editors to focus on publishing great research and increasing the journal's international impact in its field," according to Richard Reed, Professor of Anthropology at Trinity University and former president of SALSA.

For case studies related to outreach, engagement, and collaboration, see Appendices A and B.

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Appendix 5-A

Case Study: Publisher Engagement with a Bilingual MFA Program

The University of Texas at El Paso has the country's only [bilingual Masters of Fine Arts](#) program in English and Spanish. Called Creative Writing of the Americas/Creación literaria de las Américas, the program offers a course of study that includes fiction, poetry, literary translation, and non-fiction. Courses cover a wide array of topics, including the short story, the novel and the novella, the novel in stories, the literary essay, the prose poem, and interdisciplinary approaches to creative writing, to name a few. Students also have access to courses offered by other departments, such as Theater, English, and Language and Linguistics.

UT El Paso, which lies just across the border with Mexico, attracts students from both sides of the border, as well as from other countries in Latin America and around the world. Many students in the bilingual MFA program are native Spanish speakers, all speaking at least some Spanish and English.

Spanish is spoken as the primary language by more than 40 million people in the US, according to Census Bureau estimates. By far the most commonly taught foreign-language in the US, an increasing number of programs are pursuing bilingual programs, or programs that encourage work in both languages.

According to the [New York Times](#), California State University in Los Angeles will soon offer a bilingual M.F.A., Hofstra University plans to start a Spanish-language creative writing degree in 2018, and the University of Iowa encourages students in its Spanish-language program and its English counterpart to take each other's classes.

These programs give voice to young writers who express—in English, Spanish, and “Spanglish”—their unique experiences, and collectively the diversity of experience of Latinos, immigrants, and other traditionally underserved communities.

Appendix 5-B

CASE STUDY: Story of a Secret State

Abstract

The Georgetown University Press (GUP) sought to foster community engagement through the publication and dissemination strategies for Jan Karski's *Story of a Secret State*, a work that had originally been published in 1944. Using a variety of outreach strategies, the press collaborated with various communities of interest to promote awareness of and engagement with the work. This case study summarizes some of the main strategies used by GUP and its partners, but does not include all outreach, engagement, publicity, and promotion strategies and tactics used for *Story of a Secret State*, nor does it provide all details about the strategies discussed.

Background

Jan Karski (born Jan Koziński) was a young Polish Artillery Reserve Officer and diplomat when Germany invaded Poland at the outset of World War II. He was captured by the Soviets but escaped, narrowly avoiding the Katyn Forest Massacre. He was subsequently caught and tortured by the Nazis, once again barely escaping with his life. He became a key member of the Polish Underground, the most significant resistance movement against the Nazis in occupied Europe, and he acted as a liaison and courier between the Underground and the Polish government-in-exile.

A Roman Catholic, Karski smuggled himself into Warsaw's Jewish ghetto twice, and entered the Nazi's Izbica transit camp disguised as a guard, witnessing first-hand the horrors of the ongoing Holocaust in occupied Poland. Fleeing Poland overland and crossing the Pyrenees by foot into Spain, he went to England where, unable to see Winston Churchill, he met with British Foreign Secretary Anthony Eden. He subsequently traveled to the United States where, in July 1943, he met with President Franklin D. Roosevelt in the White House and reported on the Nazi atrocities he witnessed.

Karski wrote *Story of a Secret State*, a memoir of his experiences in the war with the Polish underground, in 1944. The memoir was a huge hit, selling 400,000 copies and becoming a Book-of-the-Month club selection. Karski later completed his Ph.D. at Georgetown University (GU) and was a beloved professor in Georgetown's School of Foreign Service (SFS) for forty years; his students included Illinois Senator Richard Durbin and former Illinois Governor Pat Quinn, among many others. Yad Vashem, the World Holocaust Remembrance Center, recognized Jan Karski as [Righteous Among the Nations](#) in 1982. Karski's testimony also appeared prominently in French film-maker Claude Lanzmann's nine-and-a-half-hour oral history masterpiece *Shoah*. Jan Karski passed away in 2000.

Acquisitions and the Karski Foundation

Despite being a bestseller, *Story of a Secret State* eventually fell out of print in the United States and remained so for decades. It had been re-published in France and the United Kingdom, and the rights to the book were owned by a French publisher.

In 2011, as the centennial year of his birth approached, the Jan Karski US Centennial Campaign was established to promote Karski's legacy. Headed by author and activist Wanda Urbanska and comprising former students, friends of Karski, and other parties interested in his legacy, the campaign set a goal of securing for Karski the Presidential Medal of Freedom. This goal was realized in record time, when in

2012, Karski was posthumously awarded the Presidential Medal of Freedom by President Barack Obama. The Centennial Campaign was then reformed as the Jan Karski Educational Foundation.

Urbanska approached Richard Brown, Director of Georgetown University Press, suggesting that GUP consider republishing the book, given Karski's connection to the university. GUP's foreign rights manager, Laura Leichum, proceeded to secure US publication rights from Penguin UK for \$42,000. This was a significant investment for the press. The university and alumnus and former Karski student Robert Billingsley promised some financial support in the event that the book did not reach sales expectations.

There were obvious reasons for GUP's interest in the book's publication, given the author's long and important association with the University. But it also presented some challenges: it did not fit neatly into GUP's established subject areas (bioethics, international affairs, language learning and linguistics, public policy and public administration, and religion and ethics), though neither was it wildly out of place. The fact that the author was deceased and that the book was previously published would impact publicity and promotion efforts. On the other hand, Karski's recent Presidential Medal of Freedom was an important factor. The key goal would be to conduct outreach to and engage the Polish and Jewish communities as well as scholars, professors, and others interested in the Holocaust. Early on, it was also clear that an important goal would be reaching the Georgetown University community, especially undergraduates. A goal was determined to get a copy of the book in the hands of every GU undergraduate, approximately 5,000 copies, with support from Billingsley.

Early Efforts and Publication

Director Brown and John Warren, GUP's Marketing and Sales Director, began a series of conversations with stakeholders including the Karski Foundation, Carol Lancaster, Dean of Georgetown's School of Foreign Service (SFS), and Gail Griffith, SFS's Director of External Relations. On another front, close communications were also established with the Polish embassy in Washington and the Polish consulate in New York.

With the goal of updating the book, while of course leaving all of the original first-person narrative intact, the press, foundation, and SFS worked together to commission a new foreword from Madeline Albright, an afterword by Zbigniew Brzezinski, and a biographical essay on Karski by Yale Historian Timothy Snyder. GUP's editorial, design and production manager Deborah Weiner commissioned a map for the press and worked with other stakeholders so that previously unpublished photos of Karski could be located and permissions secured; new notes, further reading, and a glossary were also commissioned. A letter and blurb from President Bill Clinton was also obtained for the book. The book was published in January 2014.

Community Engagement Strategies

Throughout the book's publication and rollout, nearly constant communication and collaboration was required among the various stakeholders.

Early planning led to a symposium to celebrate Karski's legacy, sponsored by the School of Foreign Service, Zbigniew Brzezinski, former national security advisor, Madeleine K. Albright, former U.S. Secretary of State, Polish ambassador Ryszard Schnepf, and Georgetown's former senior Jewish Chaplain Rabbi Harold S. White provided personal and historical reflections in the [event](#), moderated by SFS Dean Carol Lancaster and opened with comments by GU board of directors chair Paul Tagliabue. The event drew more than 300 attendees and the university's president, John J. DeGioia, provided an introduction.

Also planned was an [event with the Polish consulate in New York](#), to reach the Polish and Jewish community as well as Georgetown alumni in the area. Consul General of the Republic of Poland in New York, Ewa Junczyk-Ziomecka, opened the evening, which featured [tributes to Karski](#) by Father Leo O'Donovan, former president of Georgetown, and Abraham H. Foxman, national director, Anti-Defamation League.

Urbanska, Warren, and Brown conducted outreach activities with the Holocaust Museum and to Holocaust studies teachers at the university and high-school level, including with Community College of Baltimore County, the Baltimore Summer Teachers Institute, Chicago Public Schools, and the Summer Certificate Program for Educators at GU's Center for Jewish Civilization.

GUP publicist Jacqueline Beilhart led efforts to garner book reviews and other publicity for the book. Publicity efforts were somewhat hampered by the fact that the book was previously published, the late author was also obviously unavailable for interviews, and the prominent figures who contributed new material to the book's new edition were likewise unavailable for media efforts (although they generously participated in events, as mentioned above). Nevertheless, the book garnered starred reviews in *Publishers Weekly* and *Kirkus Reviews*, as well as reviews in *Booklist*, the Huffington Post, and other publications.

A dramatization of the book was planned, with Georgetown's theatre professor Derek Goldman and GU theatre graduate Clark Young writing a screenplay based on the book. The staged reading, "Remember This: Walking with Jan Karski," also directed by Goldman, was held Thursday April 24, 2014, and featured academy-award-nominated actor David Straithairn as Karski (a [video of the reading](#) is available on the Georgetown website). Georgetown theatre students appeared in the play. (The play subsequently ran Off Broadway and in Chicago.)

The press used the reading as a venue to distribute free copies of the book to GU students; nearly 1,000 copies were distributed at the event.

Coinciding with the dramatization, an exhibition on Karski was presented at Georgetown. The exhibit "The World Knew: Jan Karski's Mission for Humanity" was created by the Foundation in collaboration with the Polish History Museum in Warsaw, which debuted at the United Nations, also traveled to Chicago, Łódź, Poland (Karski's birthplace), and Canada. The Foundation was able to secure a Chairman's Grant from the National Endowment for the Humanities to support this exhibit.

On two occasions after publication, the press distributed free copies of the book to undergraduates in "Red Square," the hub of student activity on the Georgetown campus. Several students commented to press staff on the book's meaning to them, as well as their appreciation for the complimentary copies.

The book was also distributed at no charge to university alumni and other guests at the annual John Carroll Weekend, Georgetown's primary educational and fundraising initiative, in 2014.

A reception was held at the Embassy of the Republic of Poland, in Washington, DC, on April 23, 2014 to celebrate the centennial of Karski's birth. Brown, Leichum, Warren, Weiner, and Urbanska were all awarded the Amicus Poloniae Award from the Embassy of the Republic of Poland, for their efforts in publishing the book and engaging the community about Karski's legacy.

Unit 6: Purposeful Marketing, Promotion, Publicity

Consider for a moment that your publishing organization is planning to publish a new title on an important topic relevant to the local, national, or even global community. For this scenario, the topic can be anything: preserving wetlands in the face of climate change, increasing diversity among young professionals in STEM careers, bridging the divide across communities with different viewpoints, or some other local/global topic. Your team has already identified a partnership opportunity on your campus with interest in an event or symposium on the topic. You're working toward constructing good metadata for discovery. Imagine a fund or interested donor has expressed interest and has committed \$10K to marketing expenses, or, perhaps, you've determined that you can sell 500 print-on-demand copies and can allocate \$500 for promotion. What are your next steps?

This unit is designed as a mini-course in marketing, promotion, and publicity. It is divided into two parts. In part one, we discuss the fundamentals of brand strategy, how to position publications and target them to specific audiences, and how to schedule and budget promotional activities. Part two examines how to write effective, impactful copy that can be used in a wide range of venues, how to garner publicity and reviews, and how to plan and implement promotional events, exhibits, and conferences. This unit provides only an introduction to these topics; an entire module could focus on just these elements. Indeed, subjects such as publicity, copywriting, and branding have entire courses of their own in many universities.

What You Will Learn

- Understand fundamentals of brand strategy.
- Identify potential audiences for individual titles and assess a publishing product's promotional potential.
- Identify and implement promotional tactics appropriate for each project.
- Plan important components of a promotional schedule and budget.
- Understand key concepts for effective, inclusive, impactful copywriting.
- Conceptualize and document a publicity and promotional plan.
- Create an integrated marketing and promotional plan.

Marketing and promotional strategies are integral to creating impact—not just generating sales—for publications of all types. The concepts and tactics discussed herein are flexible enough to be adaptable to almost any kind of product. New journals can and should be promoted, and, in certain cases, even individual articles are promoted with a press release, for example. Conference proceedings may warrant promotional, not just discovery, efforts; a new open access series deserves promotion even if there are no sales expectations. Your organization itself needs a marketing strategy. Some of the content in this unit, however, discusses promotional aspects that are especially relevant to the book trade. In other words, books designed to be sold through retail and wholesale channels, whether local independent bookstores, wholesalers such as Ingram or Baker & Taylor, or retail giants such as Amazon. Revenue expectations from books that you publish can often justify the cost of promotional activities; sales provide a return on investment, especially in the aggregate. Successful titles help recoup costs for underperforming titles. Books also have special book-industry scheduling concerns that are largely dictated by book wholesale and retail channels. Books have publicity opportunities in the form of book reviews that other publications are unlikely to attain. Traditionally, also, journals often had significant

revenue expectations and marketing expenses, but these were generally expected over the long-run, and promotional activities focused on the journal itself instead of on individual articles.

In this module, we discuss a wide variety of impact strategies. Marketing, promotion, and publicity strategies and tactics extend impact and are most effective in conjunction with the module's other strategies. Our mission, vision and goals (see Impact Unit 2) not only affect the content we publish, but the promotional strategies we decide to pursue. Assessment strategies and measures enable us to gauge whether we are reaching our goals, and, importantly, help us to determine when it may be necessary to adjust course, as we have seen in Unit 3. Discovery mechanisms such as effective metadata, in Unit 4, help extend the reach of our publications and increase their impact, but these strategies are much more effective when accompanied by promotion. Outreach and engagement strategies can also be considered a part of marketing and promotion, and activities in this unit will expand on those discussed in Unit 5. Finally, social strategies and social networking, which are discussed in Unit 7, are a part of the marketing and promotion mix, but the topic is large enough with enough distinctions that it forms its own unit. Social marketing is also truly “marketing on a shoestring” because the strategies and tactics employed sometimes cost little or no outlay of funds, other than the (not insignificant) labor involved.

A word about terminology: it's important not to get too hung up on the differences between terms such as “marketing,” “promotion,” and “publicity”; they are often used synonymously, and are certainly defined differently in different sources or contexts, but there are some nuances. For this unit, we'll define marketing as the umbrella term that includes branding, sales, various promotional activities, and so on. Promotion will mean efforts that generally require payment or funds, such as advertising, events, conferences, etc. Publicity will signify activities that are not paid directly, such as news articles from the New York Times, to local media, to a university alumni magazine. Don't consider that publicity doesn't have costs—mailings and meetings with media can mean considerable outlays of funds—but they usually aren't paid to the publicity source. Again, the divisions between these terms can often be blurred.

Key Terms

- **Marketing:** Umbrella term that covers a range of branding, sales, and promotional activities.
- **Promotion:** Efforts like paid advertising and events that require a budget.
- **Publicity:** Unpaid (or indirectly paid) exposure through news coverage and other media. Publicity entails indirect costs, including mailings, travel, and meetings with journalists, but the coverage itself is not paid.

Whether your organization is large or small, an understanding of marketing concepts will be helpful. You will want to implement these strategies and tactics as appropriate to your goals, expectations, and resources. In some library publishing organizations and some university presses, there will be only one or two staff members with a wide variety of different responsibilities. Even publishing organizations with five or six (or more) staff members may not have a dedicated marketing person. Some library publishers, and certainly university presses, are much larger and have a professional staff dedicated to marketing, sales, and publicity. This unit should be helpful for organizations of all sizes as they consider marketing and promotion planning and activities.

Branding

Branding lays the foundation for the marketing and promotional strategies that follow. It's not that marketing and promotion cannot occur without brand strategy, but, without conscientious brand strategy, they will likely be more scattershot and less effective.

It's important to note that "the brand" and "branding strategy" can denote various things depending on your goals and objectives. At the library publishing level, there is, of course, the university brand. Many universities have branding guidelines that provide policies and guidance on [messaging and visual identity](#), including logos, fonts, colors, and so on. Your publishing organization is another brand, and it is important not to conflict with the university brand (and the university library brand). That being said, the purpose of your library publishing organization's brand is to develop and articulate your unique identity, as we will explore below. In addition to the organization's brand, however, some projects or portfolios warrant their own unique brand. Examples include Michigan Publishing's [Fulcrum](#) publishing initiative and the University of California Press [Luminos](#) and [Collabra](#) open access publishing initiatives for monographs and journals, respectively. These initiatives form separate brands for Michigan and California, yet are still part of the presses' overall brands. In addition, book series are also commonly promoted as a brand. Individual, stand-alone titles do not generally form a brand, but authors often do, consciously or not. Think Stephen King and John Grisham, but also [Malcolm Gladwell](#) and [Kathleen Fitzpatrick](#).

Activity: Deconstructing Luminos

- How would you describe Luminos' brand expression? Do they have a logo? Do they use a consistent typeface, color scheme, etc. throughout their web presence?
- Can you articulate Luminos' brand idea? How do they achieve their mission?
- Can you identify some of Luminos' brand values?
- Do you have an impression of Luminos based on their web presence? How would you describe their brand image?

Brand Strategy

In Unit 2 of the Impact module, we discussed the alignment between the strategic goals and objectives of the university, the university library, and the library publishing organization or university press. (If you have not completed that unit, we recommend you review it to better inform your learning in this unit.) Brand strategy is an extension and manifestation of the goals you set (and periodically adapt) for your publishing organization. Fundamentally, your organization's brand is your *raison d'être*, the reason you exist, and the value you add to your stakeholders and customers.

As discussed in Unit 2, possible strategic priorities of a university press or library publishing program may include:

- Contribute to and align with overall mission/strengths of the university
- Reinforce reputation of press to attract highly respected scholars and subject experts
- Increase sales revenue (i.e. sales in trade or academic markets)
- Impact research, pedagogy, and/or public debate
- Collaborate with university's departments & centers
- Increase digital dissemination and/or digital innovation
- Develop new or alternative funding opportunities (i.e. grants, subventions, new markets)
- Assist faculty in publishing open educational resources (OERs)

- Increase number of faculty/student run open access journals

Elements of Branding

- **Brand expression:** “The visual and verbal identity: logos (the etymological root), straplines, color palettes, product names and (to an extent) the products themselves.”
- **Brand idea:** “Effectively the organization’s internal motto. If the (external) strapline crystallizes an organization’s vision (the ‘what we are trying to achieve’), the (internal) brand idea distills the ‘how we achieve it.’”
- **Brand values:** “The behaviors and characteristics you (a) recognize as already existing within the organization, shaping its success, and therefore (b) encourage / seek in your staff so that they embody the brand idea and convey a consistent brand identity.”
- **Brand image:** “What people think of your organization, i.e. your reputation — in part a result of all of your efforts above but ultimately influenced by many wider factors too.”
- **Brand equity:** A measure of brand visibility and perception among stakeholders. Are people aware of the brand? Does it hold perceived value? How loyal are people to the brand?

Branding evolves from your mission and goals, informing your promotional strategies and activities for individual publications and projects. But how do goals translate to brand strategy?

The key is knowing what unique value your product or services offers—why the business or organization matters. If your mission is, for example, to “provide support and resources to the _____ University community for creating, curating, and disseminating scholarly, creative, and educational works,” this is also what you want people to think of when they think of your brand.

Features and Benefits of Branding

We can also think of branding in terms of features, attributes, and benefits associated with your organization or its products/services.

- **Features and attributes:** What are the features of this product or initiative? Which hold the most value for stakeholders?
- **Functional benefits:** What are some of the tangible benefits these three groups of potential stakeholders may expect from this initiative?
- **Emotional benefits:** What emotional response will this service provoke among your stakeholders? How will it make stakeholder groups feel (assuming it’s successful)?

In the branding hierarchy or pyramid, we begin by understanding the features and attributes of our products or services, recognizing their benefits, and ascend to the essence of the brand.

- **Brand idea:** The essence of your organization, your unique value proposition. Why does the work you do matter? What distinguishes you from other organizations that do similar work?
- **Brand or product persona:** The manifestation of your brand; a human incarnation of your brand. How do you describe your brand? How do others describe it?
- **Emotional benefits:** The feelings associated with your products or services. What emotional connection do you have with your audience?
- **Functional benefits:** Tangible benefits your product/service offers to the customer.
- **Features and attributes:** The most valued or most desirable aspects of your products or services. How is your product or service unique?

Brands build loyalty by connecting with an audience that trusts its products or services. Your brand equity is how and to what extent people are aware of the brand. Does your brand hold its perceived value? How loyal are your customers/patrons/audience to your brand?

Context

A thorough understanding of brand strategy also requires a consideration of context. What are the various factors that affect your publishing organization? For this, we consider a situational analysis. For a situational analysis, we assess the:

- **Environment:** What are the political, economic, social, technological, legal and environmental (PESTLE) influences that affect the business and brand?
- **Business:** What does the brand stand for (i.e. what does it mean)? What associations, ideas, emotions and benefits do people associate with it? What makes it unique?
- **Customers:** The series of steps and decisions a customer takes before buying from your business (or not) is the consumer journey. For library publishing organizations, these may or may not be paying customers, so we should consider customers that interact with our organization, use our services, or derive benefit from our publications.
- **Competitors:** Consider the replacements or substitutes for your products or services. Where can (or do) your customers/stakeholders/audience go if they are not interacting with your organization? Competitors are not only not those who are hoping to earn your customers' money, but also those who are capturing your customers' or stakeholders' attention.

In Unit 5 of this module, we conducted a stakeholder analysis to inform outreach and engagement strategies. As we will see in Unit 7, this analysis also guides social strategies. Understanding these questions relating to stakeholders helps us to understand the meaning, strength, and impact of our brand:

- What emotional interest does your stakeholder have in the outcome of your work?
- What motivates them?
- What do they desire from you (what information, resources, other)?
- How do they feel about your organization and your work?

Whether considering branding for your publishing organization, a book series or publication portfolio, or helping your authors develop their “personal brand,” the concepts for brand strategy are the same.

OER Activity: Applying Brand Strategy to an OER Development Initiative

Strategic priority: Contribute to undergraduate student success and retention.

Stretch goal: Develop a vibrant OER program that significantly reduces student textbook costs.

Program goal: Publish 1 OER by the end of the next fiscal year, focusing on providing alternative course materials for a high-enrollment course. Answer/do the following:

- Begin by articulating your brand idea. Why does your work matter? In what ways is it unique, significant, and/or distinct from other work that impacts your stakeholders?
 - Write a 2-3 sentence brand idea statement.
- Next, focus on your stakeholders. Brainstorm at least three features, three functional benefits, and three emotional benefits of your OER initiative.
 - Record them on a flipchart, index cards, or your computer.
- Next, develop an aspirational brand image or persona.

- Deriving from the emotional benefits you outlined previously, how do you want your stakeholders to describe your brand?
- Identify at least three character traits, attitudes, or values that you want stakeholders to see in your brand.
- Visualize a person, character, or mascot and identify their attributes. You may even want to draw your mascot.
- Finally, put your ideas into practice by elaborating one or more aspects of your brand expression. Choose one or more of the following:
 - Develop a name and slogan for your OER initiative. How does your name express elements of your brand strategy?
 - Design a logo for your OER initiative. How does your logo express elements of your brand strategy?
 - Develop a short style guide for your brand, including color palettes, typefaces, iconography, and imagery. How does your style guide express elements of your brand strategy?
 - Design a homepage for your OER initiative. How do choices about layout, design, and imagery express your brand strategy?

Positioning and Audience Targeting

Who are you hoping to reach with your publication, product, or service? Positioning and targeting means that promotional efforts are tailored to reaching particular audiences.

For example, say your organization is planning to publish the following book: a practical approach to best practices in teaching and designing online courses from a wide range of disciplines, from mathematics to composition and hard sciences to humanities. Whether this book is going to be published for sale or as an open access publication, or perhaps both, you need to determine who would be the most likely audience and how can best reach this audience.

Every publication and every book is destined (at least in our dreams and aspirations) to reach a certain audience. If it has no audience, the author would likely not write it (although, some authors write for their own reasons that may not involve an audience at all) and you probably would not invest your resources (including time and money) in publishing the material.

Increasingly, scholarly publishing is driven by and directed to specialists; in marketing terms, we can identify these as niches, or even micro-niches (i.e. wetland preservation and re-habitation in the south-eastern seaboard).

In the case above, the publication would likely be positioned to and targeted at instructional designers, centers for teaching and learning, and faculty in the disciplines discussed who are moving their courses from face-to-face to online.

Questions for Audience Targeting

- What is this publication about?
- Why is it important?
- Does it contribute something new or original to the existing literature?
- What distinguishes it from its (direct) competition?
- Who is the author?
- Who is the intended audience?

- What aspects can be turned into selling points or promotional opportunities?

Activity: Title Assessment and Positioning

Select four titles from the scenario handout in Appendix A and do the following:

- Describe the primary audience for each book. Be as specific as possible. For example, instead of “scholars” as a target audience, you might suggest “scholars of early-modern Europe.” Your answer should be no more than a few sentences.
- Describe or list any secondary audiences for this book.
- Suggest a title for the book.
- Describe or draw a cover for the book.
- List several ways of reaching the primary and secondary audiences for this book.

Engaging Authors/Editors in Marketing and Promotion

Many authors will claim that their manuscript is for a “general audience” or should be read by a “wide audience.” This is natural; most authors want their creations to be read by the widest audience possible. However, it’s not very helpful in designing marketing and promotional strategies. How can you reach a “general audience”? Where do you reach them? Do you have a budget for an advertisement in the *New York Times*? Probably not.

To find the audience, and for promotion to be effective, you need to determine what is the inside story—the “value added” that it offers. What are the key “selling points” and benefits (even if the publication is open access)? You need to determine:

- What is it about and why is it important?
- How does it contribute something new or original to the existing literature in its field?
- Who is the author?
- Who is the intended audience, and how does this audience learn about new publications in their field?

For books that are to be sold commercially, other products that will be sold, or services that will generate revenue, you also want to determine:

- What aspects can be turned into selling points—reasons someone will buy the book/product? What aspects are promotional opportunities?
- Are you trying to reach end users (professors, students, libraries, etc.), purchasing intermediaries (i.e., retailers, wholesalers, associations), or both?
- What distinguishes the product from its (direct) competition?

In positioning and audience targeting, you also want to ensure that your understanding of the target audience corresponds with that of others. Who does the author think is the audience (unfortunately, the author’s response may be “everyone!”)? If your organization has an acquiring editor, what is their assessment of the audience? Has your organization reached this audience previously?

Knowing as many details as possible about the author helps your understanding of the target audience. For example, in what field are they a specialist, what membership organizations do they belong to, or what conferences do they attend?

Many publishers develop a marketing questionnaire to send to authors at the earliest stage (typically, after a contract or publishing agreement has been signed). For new journals, this type of questionnaire

would be helpful to send to the editor-in-chief. (See Appendix B for a sample author questionnaire from Cambridge University Press.)

Other tools that help you to determine the audience include the project proposal, the manuscript itself, comments from peer reviewers, and meetings with the author and acquiring editor. Many medium to large publishing organizations have launch meetings to formally “kick off” a project and “list close” meetings that finalize details of a season’s publications: books, journals, digital publications, and all major projects. These are also helpful in refining the intended audience for each project. Not every press has a launch meeting, and, depending on the size of the press, it may involve all staff or only a few key staff involved in the project, such as the editor, marketing director, publicist, and production editor. The launch meeting is not the venue to argue over the merits of a project; it’s an opportunity to define or refine the intended audience, ensure the title and price are appropriate, and to brainstorm cover design, promotional opportunities, people who might provide “blurbs” or endorsements, and discuss special event opportunities.

The title and cover are critical components of positioning. In journal publishing, this may include the look and feel of the journal interface, fonts, and other design elements. Titles and covers should connect with the intended audience. The title, preferably, should include words that its audience will likely use as search terms. Catalog copy and other promotional materials must be planned and developed with the intended audience in mind.

Important Questions to Answer Before Planning Media Campaigns

- How does the intended audience learn about new content?
- Are you trying to reach end users (i.e. individuals, libraries), purchasing intermediaries (i.e. booksellers, wholesalers, associations), or both?
- What is the scope of the intended audience (i.e. domestic, international, regional, local)?
- Are you trying to reach general readers or a specialized audience?

Scheduling Promotional Activities

Every major (even minor) project should have a schedule. Production schedules are designed to keep the project on track and to meet a planned release date. Promotional schedules should consider the production schedule for timing of release, but they are designed to schedule the various activities related to promotion.

You will want to work with your production department, if appropriate, to establish a realistic release date or publication date. There is no right answer for when this might be, as it depends on the complexity of the project, the author’s expectations, and any factors related to the resources available within your publishing organization. Once this publication date or release date is established, however, you will want to use it to calendar promotional activities. These may include events, press releases, reviews and other publicity, exhibits, social media, and other promotions. You’ll want to work backward from the planned publication date and allow plenty of time for planning and executing the promotional activities that will be used to market and promote the publication. In many cases, it will be helpful to have a master calendar, and significant events and promotions will have their own separate schedules with milestones along the way.

Certain scheduling aspects, however, are relevant to book promotional activities. For a variety of reasons, both clear and opaque, the book industry standard is to announce books with six to nine months advance notice before publication. This is true for any titles that have “trade,” “academic

trade,” or commercial potential that are distributed, promoted, and sold through book trade channels. (“Trade” denotes those titles that are appropriate for the mythical general audience; “academic trade” means books designated for a largely academic audience that may have some cross-over, general appeal; “book trade channels” refers to various wholesale and retail channels, online and “brick-and-mortar,” through which books are sold.)

With mission-driven or scholarly association publishing, however, organizational needs or priorities may take precedence over “best practices” in publishing. Open access or electronic-only books, likewise, are not driven by the traditional 6–9 months advance notice. In some cases, local or world events may either accelerate or delay the timing of the book’s release. Typically, author delays, or other production delays, can hamper release; these delays can often be unexpected and crippling.

For open access titles, workbooks and other publications for your faculty, special collections catalogs, and books and publications not destined for the book trade, you will still want to work with your author or other stakeholders to determine the publications’ optimal production schedule, release date, and any promotional activities, such as a publication launch.

In most cases, it’s important to plan for a promotional schedule that revolves around the release date, which is when the author’s and audience’s attention is often at its highest. Publicity is more likely when the publication is new, although reviews and articles that mention the publication can and do occur years after publication. Publication launch events and celebrations, or other public events, are often most successful near the publication date. However, beware of delays that may affect the publication date; you may need to reschedule promotional activities if publication is significantly delayed.

In the book trade, the publication date (or pub date) is not the date the book is printed or arrives in the warehouse, it’s the date it can be expected to be available in retail channels, such as Amazon, Barnes and Noble, your university bookstore, etc. The pub date can be confusing and the term itself can mean different things to different people. It’s sometimes used synonymously with the release date and launch date. In some presses all those dates are identical. In some ways, the pub date is a construct. It’s primarily designed to get everyone on board—internally and externally—with a target date for promotional activities.

As a general rule, the pub date is 4-6 weeks after the warehouse date—the date the book arrives in the warehouse (for example, when the warehouse of your distributor, or in cases of POD, is ready to ship from Ingram Book Company). This gives a bit of padding in case the book arrives at the warehouse later than planned. Keep in mind that books must move, typically, from the printer, to the distributor, to the wholesaler (Ingram, Baker & Taylor) to the retailer, (Amazon, Barnes and Noble, Powells, etc.), and, finally, to the ultimate consumer or reader. The pub date is designed to ensure that publicity, such as book reviews and other media coverage, does not occur before consumers can purchase the book. Imagine, for example (and this has happened) that your author appears on *The Late Show with Stephen Colbert* and the book is mentioned, but it’s too early for the book to be found—anywhere. This frustrates the potential audience and is a missed opportunity. Or your author says she has a major presentation at the International Studies Association, so the book must be published by April 2018. You’ll want to ensure that the pub date falls before the date of the conference.

For other types of publications not part of the book trade, such as open access books and other publications, you will want to do something similar for scheduling promotional activities. After determining the likely completion date, add some time for unforeseen events and for the publication to be available in whatever channels or platforms are planned and desirable. For our purposes, we will consider the pub date as the date by which the publication is expected to be available for purchase (or, if open access, for online viewing/download) through all planned distribution channels.

The pub date helps you set goals and stick to them; it sets a target date that editorial, production, and marketing departments all agree on and work from (although delays do happen). You want your publication to be available just as any publicity, outreach, or other events are occurring. Important to determining the pub date is when the publication can be realistically finished. How long will it take for the author to finish (if appropriate) and for the publication to go through production, including copy editing, design and layout, proofreading, indexing (if appropriate), and so on? There may be a disconnect between what authors want and what the editorial/production staff can pull off. (Not to harp on authors, but they may have little understanding of the time it takes to produce their publication, nor of the fact that you just might have “other” projects besides theirs, so a part of scheduling promotional activities includes managing author expectations.)

Electronic publishing, including eBooks and other digital publishing projects, can add complexity to the pub date and other scheduling concerns. For example, many publishers send book files to a “conversion house” that specializes in eBook creation. (Popular formats include epub, used in the Apple iBooks store and many other outlets, and mobi, used by Amazon; PDF, with added bookmarks and hyperlinks, is still widely used as well.) This can delay eBook publication, so if it’s important that the eBook is available at the same time as print (generally best practice), you should work this time into the pub date. New modes of digital scholarship, such as digital humanities projects, have their own scheduling concerns that should be taken into account when scheduling promotional activities.

Budgeting Promotional Activities

As with a promotional schedule, all major publishing projects should have a promotional budget. This is particularly true for book titles that will be commercialized and are expected to sell in, perhaps, thousands of copies (we can dream the dream of a million of copies sold!). It may be difficult to secure promotional funds for books that are not sold, such as open access titles, but circumstances may be such that a donor steps up to the plate, the author’s institution commits promotional funds, or general funds can be used for marketing and promotion.

Increasingly, marketing departments (and budgets) are asked to “do more with less”—less money, less resources, less staff. This is a widespread phenomenon, to be sure, but doing more with less is especially apropos to today’s marketing. Whether large or small, organizations always grapple with limited resources to devote to marketing and promotion. For example, some of today’s promotional opportunities, such as social media, involve little direct investment in terms of funding outlays, although the time invested is certainly a budget concern and should not be underestimated.

Different organizations will budget for and track promotional spending in very different ways; there is no magic bullet or agreed-upon formula. It depends on organizational realities, preferences, and history. For publishing organizations with significant sales or revenue expectations from books, subscription journals, services, or other revenue-generating products, sales forecasts (determining in advance the expected sales, per year, for titles) have a direct relationship with marketing and promotional budgets. Publishing organizations may devote five percent (or more or less) of sales or revenue to promotion. Forecasting sales can involve both art and science, including analysis of historical trends and intuition about still unreleased projects. A full explanation of sales forecasting techniques is well beyond the scope of this unit, but sales forecasts should generally be done on per-title basis for all frontlist titles (new titles in a particular season or year), on per-title basis for key backlist titles (those with a good history of significant or reliable sales), and on an aggregate basis for active backlist.

All major new titles expected to generate revenue—including both books and journals—and other projects that have designated marketing or promotional funds should have their own promotional

budget. (How you define “major” is up to you and your organization.) Quite often, however, promotional budgets are rolled up into an overall marketing budget. This provides organizations with flexibility, and, in some cases, may free up promotional funds that are not necessarily tied to being recouped in sales, in other words, return on investment (ROI).

An important consideration is to determine, in advance, what promotional expenses you expect the author to cover and vice versa. For example, many authors are willing and able to hire a publicist, and authors are often, but not always, willing to pay for their travel to events, readings, and bookstore signings. The author’s home organization or department may also be able to contribute promotional funds. It does not hurt to ask. Elements to consider in any promotional budget may include:

- Launch event, such as a book launch, a new journal launch, or event celebrating an important new digital publication
- Events and author travel, such as bookstore appearances or other special events
- Online promotions, such as Amazon promotions
- Social media and other digital strategies
- Publicity expenses, including press release mailings, book galleys, and author media appearances
- Direct mail and email marketing, including costs of designing and mailing catalogs, brochures, or postcards
- Advertising—both print and online
- Conferences and conference exhibits

Promotional budgets will also often need to consider costs of website maintenance, staff travel (to conference exhibits or publicity calls), sales rep commissions, and even market research (for example, subscription databases such as PubTrack and PubStats provide publishers with sales information in retail and course adoption markets).

Budgeting is something learned and perfected through experience, and you should work closely with the business manager or financial officer of your university library to refine and approve budgets.

Copywriting for Impact

Effective copywriting is the foundation of all promotional material, such as catalogs and brochures, advertisements, press releases, and pitch letters. Copywriting skills are also important for websites and blog posts, social media, and promotional vehicles, such as book trailers. Book publishing requires compelling copy written for the back cover or jacket, and all publications have metadata (discussed in Unit 5) that also require effective copy.

Each of these promotional vehicles will differ in the particulars—there is no “one size fits all” for promotional copy—but the fundamentals are the same. It starts with good, clear, effective writing. (Unit 7, which covers social strategies and social networking, includes a section specific to the techniques of writing copy for social media—called “microstyle”—but the principles described in this section also apply to social media and online promotions.)

Basics for Effective Copywriting

- Be clear and concise.
- Be specific.
- Tailor copy to the medium.
- Use active construction, expressive verbs, and calls to action.

- Use statistics or testimonials to bolster your assertions.
- Don't bury the lead.
- Stress benefits, not features.
- Tell a story. Place readers into a situation, but avoid manipulating emotions.
- Strive for inclusivity. Read copy with an eye for stereotyped, biased, gendered, or otherwise exclusionary language.

Activity: Evaluating Impactful Copy

Drawing on the tips for effective copywriting we discussed previously, evaluate each example of copywriting in Appendix C and answer the following:

- Is the copy clear and concise?
- Is it specific?
- Is it tailored to the medium?
- Does it use active construction and expressive verbs?
- Does it use statistics or testimonials to bolster its assertions?
- Does it bury the lead?
- Does it stress benefits, rather than features?
- Does it tell a story?
- Does it strive for inclusivity?

Grabbing Your Readers' Attention

Picture yourself reading an article in the *New Yorker*, a blog post, a newspaper article, or an advertisement in a magazine; it all starts with the first sentence or headline. If the headline or first sentence isn't read, the entire battle is lost. If the first sentence grabs your attention, you'll read on to the second, and so on. Graphic designers will disagree, but all graphics, typography, and so on support the copy, not vice versa.

Get People to Read the First Sentence

- Copywriting is an essential element of marketing, whether it be traditional or online.
- It all starts with great writing.
- Graphics, font choices, design provide support to your copy.
- If the first sentence isn't read, the battle is lost.
- The first sentence compels someone to read the second sentence, and on, up to the call to action/offer.

Copy starts with good writing, but what constitutes "good writing"? Here, we are not talking about literature. The most important rule is to keep it simple. Avoid jargon and "insider baseball"; write simply and clearly, with no unnecessary words.

Crucial to most promotional vehicles, including press releases, advertisements, blog posts, and email newsletters, among others, is the headline. The headline is your opportunity—in most cases, your *only* opportunity—to capture the reader's attention. The headline's goal is to turn a browser into a reader and a reader into a customer. Headlines usually lure readers into the body of the text by promising some sort of reward to the reader for their attention. Headlines compel action, raise the reader's curiosity, pose a question that the reader wants an answer to, or promise a solution for how to do something. A general rule for copywriting is to spend *half* the time it will take to write the copy for a

given promotional piece on the headline. This is worth repeating: devote 50% of all the time you will devote to writing copy on the headline alone. This is because while 80% of people will read your headline, only 20% will read the rest of the promotional piece.

Keys to Effective Headlines

Four U's approach:

- Be **useful** to the reader.
- Give a sense of **urgency**.
- Convey the idea that the key benefit is **unique**.
- Do all the above in an **ultra-specific** way.

General questions:

- Does your headline offer a reward for reading?
- Is your headline specific?
- Does your headline trigger a strong emotional reaction?
- Can you add an element of intrigue?

Effective copy focuses the reader's attention; the reader should never wonder why they should pay attention. Each paragraph, or each part of the narrative, should convey a clear idea and a benefit of some sort to the reader. Use statistics or testimonials to back up your assertions. Always keep in mind: what's in it for the reader?

Important to effective copywriting is stressing benefits, not features. Highlighting features is a common mistake, simply because it's much easier to come up with a list of features. For example, a feature touted by Maytag regarding their washing machines is that they are reliable; the benefit is that you will spend less money on maintenance, and you won't be without a washing machine on a Sunday night when you have an important meeting the next day. The feature of a book on public policy is that it explains an important issue like healthcare; the benefit is that it will help a policymaker make a decision on the healthcare debate. As discussed in the section above on brand strategy, try to determine what benefit or benefits connects to the reader on an emotional level.

Tell Them a Story

- Stories speak to our emotions and are more persuasive than sales pitches.
- Suspense grabs the reader; start with something exciting.
- Metaphors can help readers connect with the message.

One way that effective copywriting can connect to customers or potential customers on an emotional level is through the use of stories. The use of stories is not manipulative; it merely allows a reader to place themselves in the situation. Neuroscience explains this concept. In the past, it was thought that motivation followed a sequence of Think > Act > Feel. For example, you need to buy a new car, so you *think* about new car models by researching *Consumer Reports* and *Car & Driver*, you *act* by test driving several models and buy a new Mazda, and, finally, you *feel* great about your purchase. The new science of motivation, however, uses brain imagery and other neuroscience methods to determine that we actually follow a sequence of Feel > Act > Think/Rationalize (see, for example, *Drive: The Surprising Truth About What Motivates Us* by Daniel Pink). This is often unconscious. For example, you (perhaps unconsciously) *feel* that a Mazda CX5 is the best choice for your needs, you *act* by researching and testing a few models before determining that the Mazda is a good choice, and you *think* or *rationalize* that you made the right decision (even when, in some cases, contradictory information may come along

subsequently). The use of stories in promotional material (and other narratives) helps us to connect with the reader at this instinctual feel level.

Activity: Impact

Select one title from the scenarios in Appendix A and do the following:

- Draft three alternative headlines for a pitch letter or press release.
- Draft the first paragraph or two of a press release for the project based on one of the headlines you developed.
- Draft the first paragraph or two of catalog copy or back cover copy.

Publicity

Publicity is, generally speaking, promotion that is not paid for directly. Publicity is often thought of as “free,” but this belies the fact that there are costs, often quite significant, associated with publicity efforts. Publicity costs, which form part of your promotional budget, can include items such as book review mailings to media (printing galleys or final books, mailing and postage costs), publicist travel costs to visit book reviewers at *Publishers Weekly*, *Foreign Affairs*, or other publications important to your audience, as well as author expenses for television, radio, or print interviews.

Publicity is distinct from social media/social networking (covered in-depth in Unit 7) because you will generally be directing social networking efforts toward having a conversation or dialogue directly with your customers, readers, or audience, whereas publicity efforts are achieved through intermediaries, such as print and broadcast media, bloggers, and other outlets that will help spread your message to your targeted audience. Of course, media organizations can and do pick up, from time to time, your social efforts, but this may often be in response to some other publicity efforts you have undertaken directly with the media.

Publicity outlets may be local, including your university’s magazine or the magazine of your university’s alumni association, local newspapers, websites, or other localized media, campus radio stations, student-run newspapers, and so forth. Publicity outlets also include national media, such as journals and magazines dedicated to your target audience (i.e. *Foreign Affairs*), trade magazines (*PW*, *Library Journal*), national news media (*New York Times*, *Washington Post*, *Wall Street Journal*, *The Atlantic*), scholarly associations that have a media presence, online media (i.e. HuffPost), or bloggers and websites dedicated to reaching your target audience. Publicity opportunities may even be international, given appropriate material and dedication to reaching these outlets. Various publicity tools or methods are used to reach all of these outlets. Although the format and mechanism may vary, the basics are similar.

Pitch Letters

A pitch letter is a short, focused email or direct mail letter that “pitches” a story to the media for consideration. Ideally, this is addressed directly to an individual (research is important). Pitches can be directed to bloggers, to possible event sites or hosts, to broadcast media, and to book review outlets. With a pitch letter, shorter is always better; get to the point. Spend time on an attention-grabbing headline or subject line. The intended addressee should *not* wonder *why* they are being pitched for this story or review. If they don’t know why you are pitching them, you haven’t done your advance work.

Basics of a Pitch Letter

- A short, focused email or direct mail letter that makes the case to the media to cover your publication.
- Tailor your pitch letter to a particular individual who will find the publication of interest.
- Include a copy of the publication or a link.

Pitching often takes multiple attempts or follow-up phone calls. It's crucial not to be defensive, aggressive, appear unaware of the focus of the media you are pitching, or give the impression that you are somehow doing *them* a favor.

How *Not* to Pitch Your Story

- "Did you get my email/phone call/press kit?"
- "You should be interested in this story, because [your competition] covered it in their last issue."
- "I saw you did a similar story yesterday, so I thought you might be interested in doing a follow-up on us."
- "You don't cover this subject? Can you forward it to the person who does?"
- "You'll be sorry if you don't write this story."
- "If you don't cover this, [your competition] will!"
- "I already pitched this to the *Wall Street Journal*, but they said no."
- "Since you didn't cover us after our last meeting, you really owe us this time."

Press Releases

A press release is more formal, authoritative, and detailed, but should not be stilted, boring, or confusing. Media professionals are extremely busy (aren't we all?) so think of a good press release as a story that could be run in the intended media without further work by the reporter. Needless to say, this is not always the case, but the easier you make it for the reporter or reviewer, the higher the likelihood that your book, publication, or author will be featured. Again, with the press release, the headline should do the heavy-lifting and grab the reader's attention. An ineffective headline is "New from _____ University Press!" Ideally, your headline should be specific, offer a reward for reading, provide some element of intrigue, and trigger a strong emotional response.

Press releases should get right to the point. Don't bury the lead (the key point) in the last paragraph. The lead is the who, what, where, when, why, and how of your story. In publicity or public relations, we often refer to the "inverted pyramid"; this means the most important information comes first, less important information comes second, and the least important information comes at the end. (Deciding which information is the most important is, therefore, a key challenge.)

Press releases should include statistics or endorsements to prove your point, have absolutely flawless grammar, provide contact information, and be one or two pages *maximum*. As mentioned above, the reader should not wonder why your press release is worth their time or is newsworthy.

Basics of a Press Release

- A brief, one- to two-page formal announcement that reports the facts of an event (e.g., a book launch). All the tips for effective copywriting apply to press releases.
- Press releases needn't be overly dry, but they should be written such that they could be run in a news publication without further modification by the reporter.

- The headline must grab the reader’s attention. Instead of “New from Midwest University Press,” try “New Book Explores Discovery of Never-Before-Seen Ancient Mayan Ruins.” Be specific, offer a reward for reading, provide some element of intrigue, and trigger a strong emotional response.
- Use the inverted pyramid structure.

Other Publicity Tools

Other common publicity tools and methods include an author Q&A, fact sheet, and blurbs or endorsements. An author Q&A is a prepared list of questions and answers that make up a sample interview with your author. This can be helpful for some media outlets that are pressed for time and may use Q&A materials verbatim, but it is also used to provide additional background information to publicity outlets without overweighing the press release. Similarly, a fact sheet gives common answers or facts about your publication, whether a book or journal article, that help news outlets uncover the news within the release without having to dive into the materials; saving the media time and effort is usually well worth your investment in time. Blurbs or endorsements are just what they sound like: quotes from authoritative sources—other authors, experts, other media—that provide testimonials for how important or newsworthy your publication is, and why it should interest both the media source and its audience.

In book promotion, another consideration is whether or not to send bound “galleys,” or book proofs, to potential reviewers, media, and those who will blurb or endorse the book. An unedited manuscript is often sent to those you, or your author, identifies as potential people to blurb the book (useful, of course, for back cover copy, Amazon detail, and publicity purposes). Bound galleys are usually created either as digital printing or digital copies at the stage where the book has been edited and typeset, but prior to proofreading and indexing. Review sources such as *Publishers Weekly* and *Library Journal* need a long lead time for reviews (usually, at minimum, three months, or more). Other potential review sources, such as *Foreign Affairs*, newspapers, blogs, and others, need advance copies if you want publicity to occur near your publication date. You may decide to offer advance copies to members of Goodreads to get reviews posted on Goodreads, Amazon, and elsewhere. Companies such as NetGalley or Edelweiss can provide digital review copies to media, bloggers, and professors for potential course adoption.

What Makes a Story Newsworthy?

- **Impact:** facts and stories with greatest impact on readers
- **Weight:** significance of events compared with others
- **Controversy:** arguments, debates, all-out fights
- **Prominence:** well-known people
- **Unusual:** when dog bites man, nothing unusual; when man bites dog, that’s a story
- **Proximity:** events or stories closer to the reader
- **Timeliness:** depends on format; newspaper is a day, whereas web is instant
- **Currency:** what’s on people’s minds
- **Emotion:** appeals to our emotions and human interest
- **Usefulness:** help solve problems or answer questions; “news you can use”
- **Educational value:** make readers more knowledgeable

How do you determine what, if anything, is newsworthy? If you can’t find anything new, unique, or different about your book, publication, or project, don’t waste anyone else’s time. In scholarly

publishing and scholarly research, things that attract news media are important new findings that overturn widely-held beliefs or assumptions, discoveries or findings that answer long-standing questions, new technologies or discoveries that have the potential to change our lives or the world, or findings that uniquely illuminate the current debate about important topics. Granted, these things are not easy to discover or applicable to all projects, which is why not everything is newsworthy. The work you do in positioning and audience targeting, working with the author and editor, and other market research will inform your understanding about what makes your book or publication newsworthy.

Is Your Publication Newsworthy?

Major media rarely report on new research or scholarly findings merely because they are worthy or important. Your publication may be newsworthy if it:

- offers a novel, unique, or provocative insight,
- describes findings that overturn widely-held beliefs or assumptions,
- reports discoveries that answer long-standing questions,
- is fun, quirky, or unusual,
- showcases findings that have the potential to change our lives,
- has particular relevance to a specific group or community, and/or
- illuminates current debate on hot topics.

Promotional Events

Events promoting your publications, projects, or organization can be quite simple, such as a talk at your library by the author of a new publication, or quite complex, such as an event in your university's most formal auditorium attracting hundreds, or even thousands, to see an important expert or panel of experts debate a topic addressed by your publication.

For example, the digital, multimedia journal [Southern Spaces](#) develops lectures, roundtables, and conferences addressing issues of space and place issues. These events both expose audiences to the publication and serve as a [vehicle for content](#). These are often planned and implemented by engaging in partnerships and collaboration with other organizations.

Other promotional events might include arranging a book signing for one of your authors at a cool, local independent bookstore or a reception for one of your journals at an academic conference. The key to successful events is planning. After that it's planning. And then, planning. Plan well in advance, and plan for the unexpected. Some things you may not be able to plan for, such as a bomb threat called in shortly before your author event (that has nothing to do with your author or his/her book), but successful events, nevertheless, involve careful and detailed planning.

Potential Marketing and Promotion Expenses

- staff time
- seasonal trade catalogs and subject catalogs
- graphic design (logos, promotional materials, posters, postcards)
- website maintenance
- social media management tool subscriptions
- author travel (conferences, appearances, interviews)
- staff travel (conferences, events)
- market research

- publication launch event costs
- mailings, such as book galleys, press releases, fact sheets
- direct mail
- print and web advertising
- conference exhibits

Organizing an Event

Before you start planning an event, consider what the payoff is; again, this goes back to your goals. Your goal might be to raise awareness of your organization, attract other authors, editors, or peer reviewers, sell books, raise funds, and/or engage with another institution or the local community; any number of goals might be relevant. However, you need to know what your goals are because events are not insignificant, as even the simplest ones can be complicated and take effort.

Responsibilities in planning and implementing an event include pitching the event (to venues, to the media), coordinating authors or other speakers, booking the space and ordering furniture, ordering food and beverages, ensuring that books are available for sale, marketing the event to its intended audience, and post-event promotion or evaluation. It's often advisable to enlist partners. Strategic partnerships are important for successful events and are often part of your broader engagement efforts (see Unit 5). Southern Spaces partnered in Emory University's "[MAP IT | Little Dots, Big Ideas](#)" series, for example, which featured lectures by humanists at different stages of their careers engaged in cutting-edge digital mapping projects.

Potential partners can vary considerably, from departments, centers, and institutes on campus to local or national think-tanks, museums, foundations, or other important stakeholders. Partners can help with expenses, bring in an audience, or both. Potential partners should be approached very early.

Responsibilities should be clearly defined, such as who pays for what (especially, food and alcohol, if appropriate), who does the promotion for the event, who organizes the speakers, who approaches the media, and so on. Also, don't forget to find out who is in charge of selling books.

Events to promote your publications, authors, and your organization will be surprisingly varied. If your local symphony is giving a concert by a composer and your publishing organization has published a book about that composer or that style of music, approach them about the opportunity to promote and sell your book. If a community organization is focused on issues that coincide with one of your journals or a journal's special issue, contact them about partnering on an event. Communicate with your authors to find out what events they might be appearing at and conferences they are attending. Perhaps alumni weekend or another campus-wide festival might offer an opportunity to have a booth promoting your publications and services. Don't be shy.

Social media efforts (discussed in-depth in Unit 7) are also important for increasing awareness of your events, encouraging participation, and increasing engagement. You may want to focus a social media campaign around a physical, in-person event, or a virtual event such as a webinar, or combine the two.

Some Questions to Ask of and About Your Author

- What kind of personality does the author have?
- How approachable are they?
- What kind of media exposure have they had in the past?
- Do they have important contacts in the field?
- What do they expect in the way of promotion?

- What is their idea of success?
- What are the author's ideals and how do those compare to your capacity?
- How will you communicate with the author after publication?

Exhibits and Conference Promotions

Academic conferences have traditionally presented an important avenue for promoting new scholarly books, journals, and other publications. Faculty and researchers often browse the exhibit halls to discover new publications in their field and books to use in their courses. Conferences are also an opportunity to connect with possible peer reviewers, editors, and contributors to your journals. In today's electronic age with social media, blogs, and listservs, the impact and influence of academic conferences for book sales and discovery may be waning, but these venues are still an important place to discover new authors and promote your books.

Partnership and event possibilities are often part of conference promotions. For example, [Callaloo](#), a journal of African diaspora arts and letters based at Texas A&M University, held its 2014 conference at Emory University from October 15-18, uniting voices from in and outside the U, presenting and discussing artistic expressions including poetry, visual arts, fiction, and music to archiving and cultural preservation. *Southern Spaces* video-recorded the conference and collaborated with *Callaloo* to [presents highlights](#), including the [Phillis Wheatley Poetry Reading](#).

George Mason University hosted the first [Open Scholarship Initiative](#) (OSI) conference in 2016, which was a global collaborative effort between all major stakeholders in scholarly publishing to improve the future of how research information gets published, shared, and accessed. Library publishing program Mason Publishing/George Mason University Press helped plan and organize the conference and published the [OSI conference proceedings](#).

Planning a Conference/Exhibit

Conferences and exhibits can be quite large and very expensive, with thousands of attendees and thousands of dollars in exhibit space fees. They can also be small and local, with a few hundred attendees at your campus and, perhaps, a table provided to your organization at no charge by the organizer. As with events, planning is important, and the larger the conference—and more expensive the outlay—the more careful planning and preparation will entail.

Once again, you want to start with your goals. Conference goals often include raising awareness for the organization, your publications, finding new authors, recruiting peer reviewers and editors, selling books and journal subscriptions, and promoting books for course adoption. For high-ticket items, such as databases, subscriptions, and services, generating sales leads is an important goal, or generating awareness for a new digital publishing platform or innovative digital publication you have developed.

Planning for conferences promotions and exhibits involves a significant amount of detail-oriented, deadline-driven plans and activities. Early planning includes budgeting, ordering booth space, designing and placing conference ads, planning any conference events or sponsorships, and booking travel for yourself and/or your staff to be present at the exhibit.

Implementation steps include ordering furniture and/or booth rental, design and printing of posters and signage, registering yourself and/or other staff, and sending your exhibit booth, if you have one, as well as other supplies. If you publish and sell books, this will include ordering books and having them shipped, creating order forms, determining any special promotions or sales, author signings, and so on.

At the conference, plan on time for booth (or table) set up, showcasing your titles properly, checking the receipt of any books and supplies, staffing the exhibit (quite often over multiple days), taking orders (if you sell books), attending or hosting events, “tear down” of booth, and shipping supplies and exhibit booth back to your organization or to the next conference.

Sorry, your work is not over! After the conference, you process orders, check your exhibit booth and repair if needed, put away any supplies, and, importantly, analyze your success in achieving your goals. You can assess your success by the use of measurable metrics such as the number of books and/or exam copies sold, the number of new prospects on your mailing list, the number of new proposals from prospective authors (after a lag time, and difficult at times to measure to a particular conference). Other things may not be measurable, such as the commitment you are showing to a field or discipline, the results of sponsorship, and so on.

Social media is an increasingly important part of conference and event promotion. Most large (and small) conferences have special hashtags used to drive awareness of an engagement with the conference. Use these hashtags to promote your presence at conferences, your new titles, and so on. Beware, however, of overselling or over-promoting. As discussed in more depth in Unit 7, you need to strike a balance between tweets or posts that promote your organization or your products and information that is truly helpful and engaging to users. A good idea is to tweet or blog about presentation or keynote highlights, authors or other partners you are interacting with at the conference, etc. Don’t be annoying!

Conferences have many benefits: they help you to understand and enter a new field, help you to meet new authors, and often involve travel to fun or exotic locales. They also have their downsides: you may not want to travel, the conference may be located in a boring location, you often have to stand on your feet all day, and you may be talking to people who you may not want to talk to. They involve major commitments, where small mistakes can be big expenses, with a lot of details and deadlines. Conference deadlines and exhibits are not flexible; you, however, must be flexible.

The Integrated Marketing Plan

An “integrated marketing plan” is when a combination of all or some of these strategies are implemented in concert with careful planning, effective measurement, and feedback on achievement of goals. This is what you might call the holy grail of publication marketing and promotion. (Social media, discussed in Unit 7, is also part of any modern integrated marketing plan.) However, you may not have the budget to do everything and must “pick and choose,” prioritizing among options.

Even if you have a large marketing budget and high sales expectations, not all strategies will be warranted or successful for all publications. Careful consideration of your goals, adequate planning, and setting up assessment measures in advance is important to any successful marketing and promotional effort.

In Unit 2, we introduced a tool called the strategic prioritization matrix. We used the tool in that unit to align wider organizational goals, such as those of the university or university library, weighted and scored against goals developed for the library publishing organization or university press. (Click [here](#) for the example matrix and [here](#) for the blank one so you can try it yourself.)

For an integrated marketing plan, use the same strategic prioritization matrix. Place the overall strategic goals of the publishing organization across the top/x-axis (where the university/university library goals were previously). On the left/y-axis, place your promotional strategies or objectives (for either a particular book or project, or as a whole). (Examples of promotional strategic matrices are provided in

this unit.) You can then score these promotional objectives against the organizational goals to determine which objectives are the most important and warrant the greatest resources and which are less important and might be rejected or devoted minimal effort. Use the assessment strategies (discussed in Unit 3) to measure the success of your promotional efforts. Feedback from these assessments will help determine and refine your future marketing, promotion, and publicity efforts. Rinse and repeat.

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Appendix 6-A

Title Assessment Scenarios

Title 1: Narrator Catherine, 15, lives miserably in the ramshackle house her newly divorced mother has bought in the dismal town of Silver Lake, northern Michigan. Marlena is her glamorous 17-year-old next-door neighbor. Cat becomes smitten with the euphoria of having a best friend. Marlena is dangerous, however: she runs with a bad crowd, and her father cooks meth. Marlena is irresistible, reckless, and brave; she's a mother substitute for her forlorn younger brother—musically talented, beautiful, doomed to die young. Cat only understands much later that Marlena is the needy one in their relationship. Living in New York 20 years afterwards with her husband and working at a good job, Cat is still damaged by losing Marlena.

Title 2: The craft of spying might be the world's proverbial second oldest profession. What we now call "intelligence" is little more than a century old, and recent technological progress is shifting the world to one in which intelligence methods are increasingly accessible to and used by sub-state actors and even individuals. This book uses the latest scholarship on intelligence to show how it emerged from a minor form of statecraft and war to a widespread influence on world affairs. In recent years, groups and organizations well outside of intelligence agencies and even outside of states entirely now can collect torrents of data—both sensitive and "open source"—and have the same problems evaluating and using it, as well as some of the same security problems, that intelligence agencies had a generation ago. In short, intelligence is now ubiquitous.

Title 3: Set in a terrifyingly plausible future in which the clash between red states and blue has become deadly, and the president has been murdered over a contentious fossil fuels bill. In 2074, Sarah T. Chestnut—called Sarat—comes of age in the neutral state of Louisiana, where she is slowly drawn into the conflict after the death of her father, performing guerrilla operations for the South. Soon she is enmeshed in a resistance movement masterminded by the Dixie militants operating along the Tennessee River, venturing into quarantined South Carolina battlegrounds and Georgia shantytowns alongside spies, assassins, and revolutionaries, like the commanding Adam Bragg and his Salt Lake Boys. Sarat finds brief happiness with Layla, a displaced bar owner from Valdosta, Georgia, but this is only the beginning of Sarat's war, as she is interred in the nightmarish Camp Saturday before being exiled in the wake of a devastating plague. Now an old and broken woman, Sarat must seek redemption in the wreckage of the New World.

Title 4: Few people in the United States realize virtually every Member of Congress employs his or her own press secretary, a person dedicated to meticulously crafting and delivering that politician's image. These individuals, Capitol Hill's "spin doctors," create well-honed and artfully packaged messages affect our thinking; they angle our opinions; and they shape our perceptions of national and international political issues. Though millions of Americans are exposed to the press secretaries' messages, few can name one. They work behind the scenes, with a singular goal: to make their boss—the Member of Congress they serve—"look good" before the public, as they vigorously promote these American legislators' worldviews. While some accounts have told the story of presidential press secretaries, this is the first to tell the tale of those serving Congress. Readers will understand why Capitol Hill's press secretaries represent a significant—often powerful—and unrecognized influence on the nation's political debate.

Title 5: This book traces the life-long development of George Washington's attitudes toward Native Americans. His first encounter as a teenager left him with the impression that they were nothing more

than an “ignorant people.” Later, he fought as a young man with and against Native Americans during the French and Indian War, gaining a grudging respect for their fighting abilities. During the American Revolution, Washington welcomed Indian allies as friends but said he would do his utmost to crush Indian enemies. As president, he sought to implement a program that he believed would allow Indians to survive in a white-dominated society. He would “civilize” Native Americans by teaching them methods of agriculture and providing the implements of husbandry that would enable them to become proficient farmers. But the hunger for land by white settlers was so rapacious that it could not be controlled by an inadequate federal military establishment, and thus Washington could not protect the land upon which the civilization program was to be implemented. Toward the end of his life, Washington expressed his frustration at the futility of his efforts: “I believe scarcely anything short of a Chinese wall, or line of troops, will restrain Land jobbers, and the encroachment of settlers upon Indian territory.”

Title 6: Research is a central element of the university’s mission. In the past several decades there has been an explosion of digital tools to facilitate and enable research. Zotero and many other innovative tools are widely available to make the entire research cycle more efficient, from collection of data & literature, analysis, writing, publishing & archiving, to outreach and assessment. Particularly for undergraduates, however, there is a lack of understanding on how to effectively use these tools throughout the research cycle. Chapters in this volume will address how to effectively use a variety of tools for each phase of the research cycle, how these tools work together, and how they present opportunities and challenges within each of the workflow phases.

Title 7: A type of hippopotamus, called the river horse, roamed the Potomac River around the time of the Revolution. Smaller than its African cousins, these small creatures were hunted for their ivory and became extinct before the War of 1812. George Washington watched them from the porch of his Mount Vernon home and described them briefly in his papers. Credited with enhancing the fertility of the plantation, Washington believed the river horse brought him good luck, and had false teeth carved from their ivory. Children at Mount Vernon attempted to lure the creatures close to the shore, to touch a nose for good luck. The author, a naturalist, zoologist, and paleontologist, recently discovered these references. In addition, one of the only full skeletons of one of the species, previously mislabeled, was uncovered in warehouse of the Smithsonian Museum of Natural History.

Appendix 6-B

Author Questionnaire

This questionnaire gives us important information for the successful publication and marketing of your book. Please complete all relevant questions as fully as possible. The replies you give will be entered on our marketing database and used as the basis of descriptions for the jacket and for publicity (in both print and electronic media) aimed at the various markets for your book. Please use additional space/paper as required. An electronic version of this questionnaire is preferred.

Please return the completed form with your typescript.

1.0 Book title/subtitle

2.0 Bibliographic Information

2.1 Author/editor details

Your full name:

Co-author/editors' names:

2.2 Your full address (where we can send all correspondence)

Zip/Postal code:

Country:

Work telephone number:

Fax number:

Home telephone number:

May we contact you at home? yes/no:

Mobile/Cell phone:

May we contact you via your mobile phone? yes/no:

Email address(es):

If you would like to subscribe to our monthly email alert for new books in your field of interest, please tick here:

2.3 Your name (As you wish it to appear on publicity material/cover of book)

2.4 Your date of birth (Required for Library of Congress)

2.5 Your present affiliation (Please include title, department, university/institution/company etc...)

3.0 Autobiographical information

Information from this section may be used for the book jacket and other publicity (in direct mail, in conference programs and on our website).

3.1 Please provide a brief autobiographical summary, which includes:

- Academic/Professional awards and other prizes awards won
- Membership of professional associations
- Appearances on radio, TV, documentary film credits etc...
- Countries you have worked in

3.2 Additional Information

- Is this your first book?
- If not, please provide details of other books you have written (please include title, year published, and publisher)
- Have you been a contributor (author or editor) to any compilations, magazines, journals or other media? Please give details.

4.0 About your book

4.1 Description

Please provide a description of your book in no more than 150 words. This may form the basis of the copy that will appear on the book's cover and in publicity materials. Please therefore explain as clearly as possible what is important about your book, and how it differs from other treatments of the subject.

4.2 Non-technical description

Please give a short description of your book (80–90 words) in simple non-technical language, which will be understood by sales representatives and booksellers in all countries. Please don't be afraid to state what would be obvious to specialists in your subject.

4.3 Key Features

Our marketing teams will use the features/benefits of your book to form the basis of a sales kit for the sales teams.

Please describe the key features of your book and explain how they will benefit its readers. Please list at least *three*.

Features

1. Example

- Includes end of chapter review questions

Benefits

1. Example

- Allows reader to monitor their understanding of the material presented

4.4 Competing Books

Please list what you consider to be the main competitors for your book (title, author, publisher, year of publication, price) and describe their *strengths and weaknesses* compared to your book. What will be obvious to specialists might not be clear to others, so please be as detailed as possible.

4.5 New Edition of Books

If your book is a new edition, please say how it differs in content or approach from the previous edition. Please be as detailed as possible.

5.0 Sales and marketing of your book

5.1 Marketing Opportunities

This document will be used by our regional offices throughout the world. These include Cambridge, UK; New York, USA; Melbourne, Australia; Cape Town, South Africa; and Singapore. Copies of the questionnaire will be circulated, so please include information that is relevant to all regions.

Buyers

This section will help to identify who your book is written for and who the likely buyers will be.

Primary market

What is the principal audience for the book and at what level of readership? What features should be emphasized to this market?

Secondary market

Will it be of interest to any additional readers? (please give audience and level of readership) What features should be emphasized to this market?

5.2 Electronic marketing

5.2.1 Your website

If you have your own website, please let us know if you wish to link to your book's homepage on the Cambridge University Press site. Please indicate if there is any additional or supplementary information on your website that may be useful to the readers of the book.

5.2.2 Email List servers/Bulletin Boards

Are you aware of any relevant bulletin boards, email list servers or news groups that could be useful for marketing your book? Where you have contact details of editor/moderators, please include them.

5.3 Discussion groups and LIST_SERVS

Do you participate in any discussion groups or listservs? These can be a very useful mechanism for promoting books. Please give details and URLs where possible. Please note that some LIST_SERVs only accept postings from ACTIVE members. Please list any to which you contribute:

5.4 Societies/Associations

Which professional societies, associations and/or industrial/commercial organizations will be most interested in your book? Please consider both national and international groups.

Please specify if there is a bulletin or newsletter. Please mark with an 'X' the societies or organizations to which you belong or contribute regularly.

Name of organization/society	Contact Details	'X'
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5.5 University Publications/Alumni bulletins

Please provide details of publications of your university and alumni publications.

University/Alumni Publications	Contact Details
--------------------------------	-----------------

5.6 Special sales

Your book may have sales potential outside the traditional bookshop, library and academic markets. Please list any institutions, training companies or business organizations that might be interested in

making a bulk purchase. In our experience, these sales are most successful where we are given specific contact details. Please append any additional details to this document if required.

Organization	Contact Details	Reason for suitability
--------------	-----------------	------------------------

5.7 Individual buyers

We would be pleased to receive the names and addresses of potential individual buyers. If you have a list of contacts, please feel free to provide them. These will be used once only and not retained in our database. Note: Legislation on direct mail/e-mail varies from country to country; we may not always be able to use the lists you provide.

5.8 Conferences/Exhibitions

We exhibit at a large number of conferences/exhibitions annually. Please provide details of any specific meetings where it may be appropriate to promote your book. If possible, please provide details of place and date with name and address of organizer or conference website if available.

Meeting/Conference	Contact details of organizer (Name, email, 'phone no. etc..)	Website
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5.9 Prizes

Are there any particular prizes for which your book will be eligible? Enter details below. Are you aware of any special submission criteria?

Prize	Sponsor	Contact details	Criteria
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We are not always informed when a book wins a prize, so please let us know if you receive notification.

5.10 Publicity/Reviews

Are you on the editorial board of any publications? Are you a regular commentator on any research programmes? Which are the most important journals and publications relevant to your book? Please cite in order of importance. Please include society newsletters and bulletins if you think they include reviews. Please indicate with an 'R' those that review books. If you have close contacts with any please also mark with an 'X'.

Journal name	Contact details	Country	(R,X)
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Notes:

5.11 Media Contacts

Do you have any specific media contacts that we can approach about your book? If you have previously published a book, is there any information about the coverage it received that would help us to promote your new book?

5.12 Foreign publishers/rights

Do you have any contacts with foreign publishers who might be interested in publishing a translation of your book? Equally, please give the names of foreign publishers who have translated any previous work of yours.

Do you know any prominent academics who may be familiar with your work and might be prepared to endorse it for a foreign publisher?

Do you know of anyone who might be interested in translating the book? Please provide contact details.

Please list anything else about your book (such as contributors, subject matter etc) that would make it particularly appealing to a specific country or region.

6.0 TEXTBOOKS

Please only complete this section if your book is suitable for undergraduate or graduate course adoption and/or recommendation (Please liaise with your commissioning editor at Cambridge University Press if necessary).

6.0.1

Is your book suitable for course adoption or on recommended reading lists? Please give details.

6.0.1

Are solutions, web materials or other online resources currently available or planned? Please give details (including URLs where applicable).

6.0.2

What courses is your book suitable for?

Course Name(s)	Level	Department names
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6.1 Competing books

We are often asked by lecturers how competing textbooks differ from one another. In order that we may effectively promote your book, please list what you consider to be the main textbook competitors for your book (title, author, publisher, year of publication) and describe their strengths and weaknesses compared to your book. What makes your book more suitable than others? Please do not be reticent in describing any shortcomings of other textbooks. (Use additional space/paper if needed) We will of course be conducting our own market research on competing titles, but very much value your input here.

Competing Books	Publisher, pub date, price etc..	Strengths/weaknesses
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6.2 Textbook Features

Are there any particular points about your book that should be stressed (i.e. sections which are especially new or different in approach, particular help for students etc.).

Features	Benefits
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6.3 New edition

If this is a new edition, please provide a list of any institutions where your book has been used as a text. Where possible, include course name, number and professor using it.

Course details (Name, level)	Contact details (Lecturer, department, institution, email address)
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6.4 Further contacts

Are you able to provide details of people known to you who are likely to adopt the book? eg. teaching colleagues from other universities, or institutions with whom you are often in contact. We will endeavour to contact them and supply inspection copies or promotional flyers, as required.

6.5 Your teaching credentials

6.5.1

Please list all your previous affiliations. Include relevant university websites with any biographical/historical details.

6.5.2

Have you taught the subject of your book outside your own country? Please provide details, so that they can be shared with our regional branches.

6.6 Pre-publication Reviews

Have you asked professors to review sections of the book, or the complete manuscript? If so, can we ask them if they would be willing to provide some pre-publication quotations that can be used in the book jacket or publicity material? Please provide contact details.

END

Thank you for taking time to complete this questionnaire. If you have any further questions, please do not hesitate to contact your commissioning editor.

Appendix 6-C

Sample Copywriting

Title & Publisher	Copy
<p><i>Brexit and Beyond: Rethinking the Futures of Europe</i> UCL Press</p>	<p>“Drawing on the expertise of 28 leading scholars from a range of disciplines, <i>Brexit and Beyond</i> offers various different perspectives on the future of Europe, charting the likely effects of Brexit across a range of areas, including institutional relations, political economy, law and justice, foreign affairs, democratic governance, and the idea of Europe itself.”</p>
<p><i>Sentencing in Time</i> Amherst College Press</p>	<p>“Exactly how is it we think the ends of justice are accomplished by sentencing someone to a term in prison? How do we relate a quantitative measure of time—months and years—to the objectives of deterring crime, punishing wrongdoers, and accomplishing justice for those touched by a criminal act?</p> <p>Linda Ross Meyer investigates these questions, examining the disconnect between our two basic modes of thinking about time—chronologically (seconds, minutes, hours), or phenomenologically (observing, taking note of, or being aware of the passing of time). In <i>Sentencing in Time</i>, Meyer asks whether—in overlooking the irreconcilability of these two modes of thinking about time—we are failing to accomplish the ends we believe the criminal justice system is designed to serve. Drawing on work in philosophy, legal theory, jurisprudence, and the history of penology, Meyer explores how, rather than condemning prisoners to an experience of time bereft of meaning, we might instead make the experience of incarceration constructively meaningful—and thus better aligned with social objectives of deterring crime, reforming offenders, and restoring justice.”</p>
<p><i>I Would Lie to You if I Could</i> University of Pittsburgh Press</p>	<p>“<i>I Would Lie to You if I Could</i> contains interviews with nine eminent contemporary American poets (Natasha Trethewey, Jane Hirshfield, Martín Espada, Stephen Kuusisto, Stephen Sandy, Ed Ochester, Carolyn Forché, Peter Everwine, and Galway Kinnell) and James Wright’s widow, Anne. It presents conversations with a vital cross-section of poets representing a variety of ages, ethnicities, and social backgrounds. The poets testify to the demotic nature of poetry as a charged language that speaks uniquely in original voices, yet appeals universally. As individuals with their own transpersonal stories, the poets have emerged onto the national stage from very local places with news that witnesses memorably in social, personal, and political ways. They talk about their poems and development as poets self-effacingly, honestly, and insightfully, describing just how and when they were “hurt into poetry,” as well as why they have pursued writing poetry as a career in which, as Robert Frost noted in his poem “Two Tramps in Mud Time,” their object has become “to unite [their] avocation and [their] vocation / As [their] two eyes make one in sight.”</p>

Unit 7: Social Networking for Publishers

Take a moment to consider how social media has transformed our lives—the way we interact with friends, consume news, engage with causes—in little more than a decade. Social media has also become a powerful way for organizations to connect with their supporters, customers, and other stakeholders. This unit will cover the fundamentals of developing an effective social media presence, focusing on strategies that hold particular relevance for publishers.

What You Will Learn

- Understand elements that create effective social media marketing strategies
- Connect social media strategies to their organization’s mission and goals
- Structure a social media marketing campaign for a publishing program or individual title
- Understand ways to monitor social media presence and evaluate its effectiveness
- Leverage the concepts of stickiness, spreadability, and likeability to develop effective social media content
- Understand and be able to apply techniques of microstyle for micromessaging

In this unit, we will use a variety of terms to describe how publishers engage with stakeholders online. Social media includes “websites and applications that enable users to create and share content or to participate in social networking.” The most popular social media platforms include Facebook, Twitter, Instagram, Snapchat, and LinkedIn. Social networking describes “the use of dedicated websites and applications to interact with other users, or to find people with similar interests to oneself.” Social media marketing refers to the specific practice of using of social media to promote or sell products and services, while social media strategy encompasses all of the ways organizations engage with stakeholders or establish their brand identity through social media. (See Appendix A for a list of social media, analytic, and other resources.)

Before the internet and the ubiquity of social media, publishers rarely, if ever, interacted directly with readers. Traditionally, publishers focused on “business-to-business” relationships and sales, as they worked with wholesalers, distributors, and “brick-and-mortar” book-sellers to bring books to market. Bookstores and libraries provided the venues for readers to discover content. Publishers’ contact with readers was largely limited to print advertising and news media coverage. Social media is a conversation. Remember: it’s not about you. It’s about your stakeholders and audience.

What characteristics distinguish social media from traditional marketing channel and make it a more powerful tool for marketing and promotion? First and foremost, it facilitates two-way exchange, unlike traditional advertising, which focuses on broadcasting messages to potential consumers. Many organizations simply broadcast messages and advertisements through social media. However, to truly leverage the power of social media, organizations have to get involved in the conversation; for example, listening and responding to feedback, proactively identifying opportunities to add to a discussion, or providing instantaneous customer support. Social media marketing also gives organizations access to a broader public than ever before (without spending millions on advertising), while also allowing them to tailor and deliver content to extremely targeted audiences.

Keep in Mind

- A changing market means changing conversations
- Transition to digital books and retail channels

- Loss of shelf space in traditional venues
- Increased consumer use of social media
- Technology drives contact and engagement
- Increased access to consumer data and feedback
- Rise of spreadable media/participatory culture

Social Media Trends

Currently, nearly 2.5 billion people use social media worldwide; that number is projected to grow to more than 3 billion by 2021, according to the statistical research firm Statista. In the United States, social media use grew rapidly after 2006, but growth has flattened for most age segments in recent years. In 2006, just 7% of 18- to 29-year-olds, the leading demographic segment, used at least one social media site; by 2015, that figure had grown to 90%. Among other age groups, social media use has also grown significantly. 69 % of individuals across all age groups use at least one social media platform.

% of U.S. adults who use at least one social media site, by age

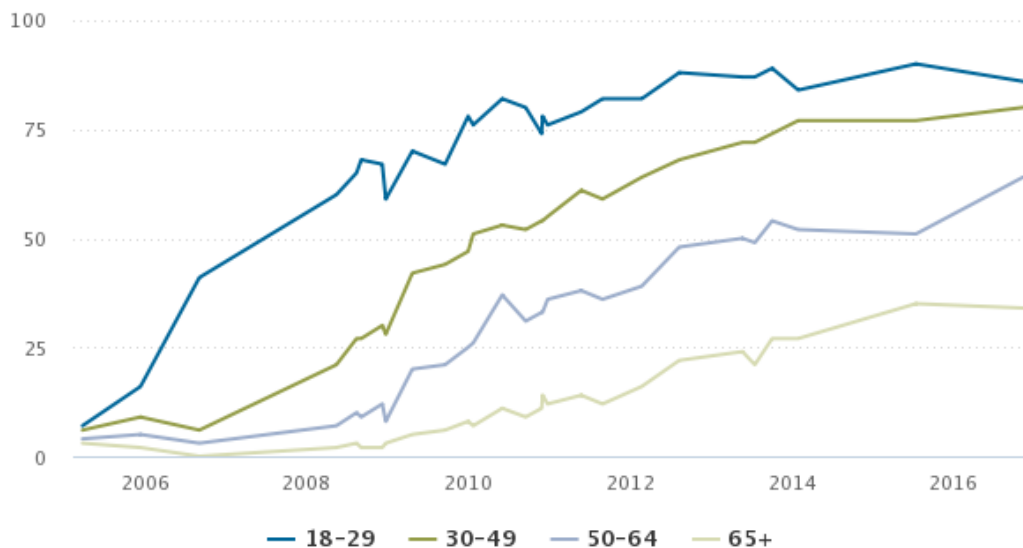


Figure 7.1: Percentage of Social Media Users by Age (U.S.). A line graph that shows the growth of social media users in all age groups.

Facebook remains the most popular platform, though most social media users regularly engage with multiple platforms, many on a daily basis. Social media increasingly provides the (or a) major source of news, especially for Reddit, Facebook, and Twitter users.

Social Media Stakeholder Analysis

Stakeholder analysis can be helpful in understanding which stakeholders, audiences, and communities you hope to engage and in what ways (from keeping them informed to developing meaningful relationships). Social media users may not proactively seek out your brand. Many will never engage directly with your website. Instead, you need to meet them where they are. Connect with audiences on the platforms they already use. If resources allow, maintaining multiple social media channels will

connect you to different segments of your audience. Publishers can use a variety of strategies to identify and evaluate stakeholders. For example:

- **Construct a stakeholder map.** Brainstorm a list of individuals and groups who might have an interest in your work or your publications (e.g., scholars in a particular field, your colleagues in the library). Organize individuals and smaller groups into broad categories (e.g., campus community, readers, peer publishing programs). Going category by category, develop audience profiles:
 - Where do these users keep up with news online?
 - What do they expect from your organization?
 - How do they feel about your organization?
 - What channels or types of content will most resonate with each stakeholder?
- **Use the power/interest grid to prioritize social media efforts.** Library publishers generally have limited resources for marketing. Use the power/interest grid as a framework to determine where expending effort will be most productive. For example, your current authors and editors have a high level of power and a high level of interest in your publishing program. Consider them high-priority stakeholders of your social media efforts. Make sure their publications get exposure on your social media channels, repost their self-promotional messages, and congratulate them directly on the launch of their new book or issue. In many institutions, students have a low level of power, but specific groups of students may have a high level of interest in your publishing activities, such as if you publish open educational resources (OERs) or a student research journal; consider them medium-effort stakeholders. Broadcast messages highlighting your new open textbook, like or repost direct mentions of your program, but maybe stop short of creating an expensive promotional video targeted at students.
- **Do your research.** You can learn a lot about your audience by observing how peer organizations use social media. Whom do they follow, and who follows them? What kinds of content do they post? Which hashtags and keywords do they use? Seek out information about social media adoption and trends to target.

Social networking offers new ways to monitor the conversation that your audience is having about your publications, but also about subject areas and topics you publish or may be interested in pursuing. Use social media tools such as Hootsuite, SocialMention, Klout, and others to find where your audience is hanging out online, who they are following, and who are key influencers. There is a distinction between hearing (analyzing the response of a tweet, reading reviews and recommendations about your products, or collecting quantitative measurements and metrics about your activities) and listening (actively responding to online conversations about your niche, brand, products; being *willing to change* based on customers' viewpoints or interests).

Social Media Marketing Strategies

Effective social media marketing begins with clearly defined, measurable goals. Think broadly about what you want to accomplish through your messages and interactions on social media. Social media marketing goals will depend heavily on your context and your programmatic goals. They might include:

- Driving traffic to your website
- Increasing sales of your publications
- Increasing downloads or views of your publications
- Developing a more diverse readership
- Building or strengthening an identity for your brand

- Building awareness of your brand
- Collecting (honest) feedback on your publications or services
- Raising visibility of specific titles, series, or authors
- Promoting publications to specific demographics
- Recruiting customers for your services
- Increasing participation in and attendance at events
- Developing a community of practice
- Improving customer service

Activity: SMART Goals Framework

- How can we use social networking in service of a strategic priority (“to contribute to undergraduate student success and retention”) and a programmatic goal (“to publish 1 OER by the end of the next fiscal year, focusing on providing alternative course materials for a high-enrollment course”)?
- Develop 5 goals specific to social networking.
 - Make sure to use the SMART framework. Goals should be specific, measurable, achievable, realistic, and time-bound.
 - Consider different social media platforms and tools and how to reach different target audiences.
 - You may make assumptions about their context, resources, etc., but make your assumptions explicit.

Creating Content

It’s easy—perhaps, too easy—to create content for social media, but an ad hoc approach will only take you so far. Consider the quality of your content and the level of user engagement with each of your posts. Do certain posts receive more attention (measured in views, likes, comments, or re-posts) than others? High quality content that engages users is much more difficult to create, but it will generally generate more engagement than straightforward announcements. Another option when examining what works in social media content is learning from your peers. Review the web presence (including underlying code) and social media platforms of comparable publishers. Who follows them? What type of content do they post? What hashtags do they use? What can you learn from their social media strategy? For example, a tweet or blog post that formulaically announcing a new book release takes little time or energy to create but offers few opportunities to create excitement or connect with potential readers. Instead of making the publication launch itself the news, center an interesting angle or framing. Why should readers *care* about this new book?

Aligning Social Media Goals and Channels

Certain types of content and messages work better on certain platforms.

- Tumblr
 - Announcements, current events
 - Guest blog posts from authors
 - New entries several times a week (ideally, daily)
- Twitter
 - Announcements, current events
 - Follow authors, peers, and similar companies

- Pinterest
 - Engaging with followers
 - Curated images (book covers, infographics)
- Goodreads
 - Giveaways
 - Monitoring what audience is saying about your books
- Reddit
 - “Ask Me Anything” (like an open press conference)

Creating and curating excellent content takes considerable time and energy, but audiences are most likely to engage with content that resonates emotionally, provokes reflection, or offers useful information. Focus on creating content that educates, inspires, and personalizes. Make connections by giving readers a glimpse into your organization. Create an ongoing feature that your followers will anticipate. Tell a story people can relate to or that captures ongoing interest, such as following along as employees try to solve a professional challenge, or following a key project through production to completion through a series of blog posts.

Avoid overselling; nothing is a greater turnoff than companies that only use social media to push their products. On the other hand, your readers are probably genuinely interested in your publications, so don't be afraid to promote new titles. A good rule is 80/20 rule: five “engagement” messages to one sales message/offer. Include a “call to action” (i.e. like, forward, retweet, enter giveaway, vote on a cover design, etc.). Try to reward followers and loyal customers with contests, giveaways, raffles, special content. Focus on engagement by creating a deeper relationship with customers/stakeholders; make it fun and interesting.

Capturing Attention

Consistency is key:

- Best to have a consistent voice. It can be a *different* voice on each platform.
- Have a plan for regular, informative, and value-added updates.
- Be discoverable through tags, hashtags, and keywords; use these wherever you can.
- Use SocialMention, Google Alerts, Google Blog Search, and other tools to discover what's being said about *you*.

Have ongoing features:

- Develop relatable, ongoing narratives, such as:
 - Follow along with an employee trying to solve a professional or personal challenge.
 - Follow a project through production to completion.
- Create a regular feature or series that audiences will anticipate, such as:
 - Post new author interview videos every Friday.

Use calls to action:

- Where possible, use a “call to action”; directly invite audiences to engage with your post by commenting, sharing, voting, etc.
- Focus on engagement over sales pitches.
 - Follow the 80/20 rule of thumb: five “engagement” messages for every one sales message.

Offer rewards:

- Reward followers or loyal customers through contests, giveaways, raffles, and direct, one-on-one engagement.

Blogs

Blogging can be a hub of social activity. Blogs are easy to set up, but many fall by the wayside. It is imperative to keep your blog updated and active to convey a vibrant image to readers. Blogs should be personal, insightful, and relevant. Blogs are important in social networking because they have a much longer lifespan than tweets or Facebook posts; audiences can discover and gather insights from blogs even years after the fact. Use keywords thoughtfully to ensure that your post shows up in search engines (part of a practice called search engine optimization (SEO)).

Blogging Basics

- Blogs should be personal, insightful, and relevant.
- Every post offers an opportunity to drive traffic and generate interest through SEO, links, etc.
- Blog posts can add value to a brand by solving challenges and engaging its audience.
- Great blog posts convert readers into leads or customers.
- Blog posts have a longer “life span” than tweets or Facebook posts.

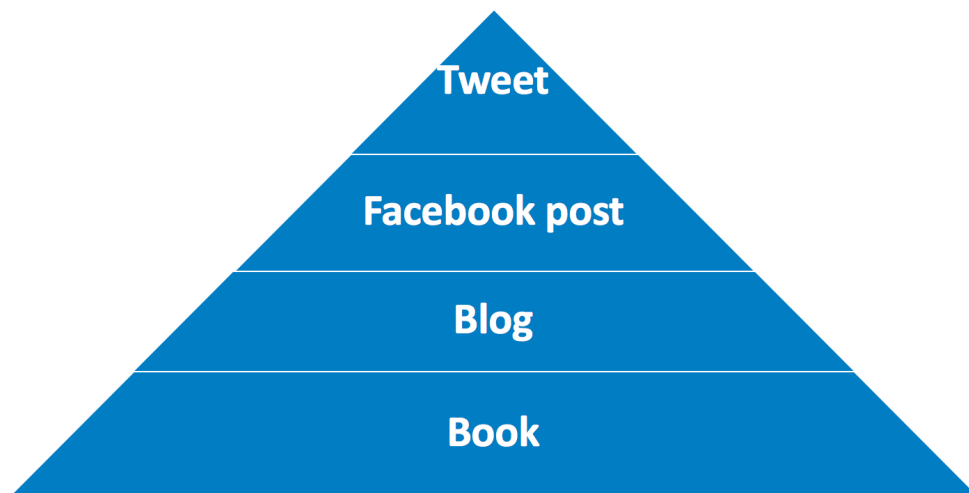


Figure 7.2: Content Lifespan. A pyramid visualizing the “lifespan” of different online content.

Planning and Organizing for Social Media Marketing

Maintaining a social media presence requires a rethinking of organizational roles. For most library publishers, and many university presses, it will not be feasible to hire a dedicated manager for digital marketing. Some organizations assign responsibility for social media to an existing staff member in addition to their other duties. For many organizations, a better option is to spread social media duties across a group of staff members, either by assigning a rotating calendar of responsibility or dividing up responsibility by platform. The distributed approach presents its own challenges as posts should be coordinated (though not necessarily identical) across platforms. It’s advisable to have a consistent “voice” on different social media platforms, but messages should not be repeated and the voice can be subtly different on each platform. Social media management tools like HootSuite can help organizations

stay on top of multi-channel social media marketing by automating cross-posting. They also provide useful analytics that help quantify audience engagement.

A content calendar is another tool that can help you stay active on social media and reduce the problem of thinking of new features or blog posts. Include key dates, such as release dates for new books, conferences you will attend, or where you will exhibit. Schedule your social media messages around these events. You could also consider generating a weekly content schedule, implementing regular features like “First Lines Monday,” where you post the first line or first paragraph of one of your publications, or “Throwback Thursday,” where you tweet or post about one of your classic backlist titles, especially those that might resonate with current events.

Remember: Set Clear, Measurable Goals

Examples:

- Increase website traffic by 25% over the fiscal year
- Increase revenue from print sales by 10% over the fiscal year
- Increase brand awareness among potential authors and reviewers
- Gather (honest) feedback on your publications
- Increase readership of a specific title/series/author

Setting Rules

It’s also advisable to establish clear, consistent ground rules. These should go along with your measurable goals. For example, stay active in social networking by creating a blog post every day or every other day; for Twitter, you might try to tweet a few times per day. Make sure your social networking content creators know in advance what topics are not acceptable. Be wary of controversial material; know in advance whether it is acceptable to tweet about Amazon, for example. Establish a chain of command, if necessary. Does anyone need to approve content before it is posted?

Establish Policies

- Which channels will you maintain?
- How often will you post?
- Who will be responsible for posting on each platform? Does anyone need to approve content before it is posted?
- What kinds of content/language/tone are acceptable?

You may need to educate your authors (and staff) about social media. Provide authors with guidance on what they can do to promote their new titles on Twitter, blogs, and websites. For example, a simple email signature line with a link to their new title on your website is an easy, cost-free way to promote their title. Invite them to do a guest blog post.

Don’t Forget to Check How You’re Doing

Measure Return on Investment

- **Establish goals:** Define goals such as a percentage increase in followers or a number of posts per week. Determine in advance how you will *define success*.
- **Monitor:** Use analytics tools such as Hootsuite, Google Analytics, Klout, and Altmetric to monitor progress. Keep track of which posts generate engagement.
- **Iterate:** Incorporate findings into your social media strategy.

Track Engagement with Altmetric

- Social media (Twitter, Facebook, Google+, Pinterest, blogs, YouTube)
- Wikipedia
- Gray literature (policy documents)
- Mainstream news media (The Guardian, New York Times) and discipline-specific publications (New Scientist, Scientific American)
- Online reference managers (Mendeley, CiteULike)

Stickiness, Spreadability, and Likeability

In *Spreadable Media: Creating Value and Meaning in a Networked Culture* (2013), Henry Jenkins, Sam Ford, and Joshua Green define the difference between stickiness and spreadability as content strategies: stickiness seeks to attract and hold the attention of site visitors, while spreadability seeks to motivate and facilitate the efforts of fans and enthusiasts to “spread” the word. Stickiness, as a strategy, is creating popular content that brings traffic to your website; the website itself is a “destination” site. This content strategy emphasizes maintaining quality and control. The goal is to attract and hold the attention of site visitors; analytic efforts include measuring website visits and length of customers on different pages. Spreadability as a strategy involves creating content that goes viral—that spreads like a virus and drives “participatory” culture. This content strategy emphasizes the contributions and activity of consumers or “multipliers” in shaping the circulation of media content; it includes many potential points of contact with content. Spreadability opens brands to unanticipated new markets, where repurposing and remixing content adds value.

Stickiness	Spreadability
Concentrates the attention of all interested parties on a specific site or through a specific channel.	Expands consumer awareness by dispersing the content across many potential points of contact.
Creates a unified consumer experience as consumers enter into branded spaces.	Creating a diversified experience as brands enter into the spaces where people already live and interact.
Depends on pre-structured interactivity to shape visitor experiences.	Relies on open-ended participation, with diversely motivated but engaged consumers that adapt content to different niche communities.
Tracks the length-of-stay and migrations of individual consumers within a site.	Maps the flow of ideas through social networks.
Utilizes a sales force to market to consumers.	Uses grassroots intermediaries who become advocates for brands.
Is an outgrowth of the shift from broadcasting’s “push” model to the web’s “pull” model.	Uses some aspects of the push model by relying on consumers to circulate the content within their own communities
Producers, marketers, and consumers have separate and distinct roles.	Increased collaboration across and even a blurring of the distinction between different roles is common and expected.

Relies on a finite number of channels for communicating with consumers.	Takes advantage of an almost infinite number of often localized and many times temporary networks through which media content circulates.
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Figure 7.3: Stickiness vs. Spreadability. A table explaining the major differences between stickiness and spreadability on social media.

Similar to outreach and engagement, and social strategies and digital strategies, neither stickiness nor spreadability is, per se, a less effective content strategy; it depends on organizational mission and goals. But also, like the difference between outreach and engagement, content strategies that emphasize spreadability are more challenging to achieve and, ultimately, have more impact on communities of interest.

Social strategies and social networking are also not about how many people click a “like” button or “share” your recent tweet. In today’s world of “fake news” and resulting [believability crisis](#), organizations that earn our trust, show honesty and simplicity, and forge meaningful relationships are measured by their likeability. In *Likeonomics: The Unexpected Truth Behind earning Trust, Influencing Behavior, and Inspiring Action* (2012), Rohit Bhargava discusses how organizations can become more trusted, more believable, and more likeable. He breaks down likeability into five factors, under the acronym “TRUST”: Truth, Relevance, Unselfishness, Simplicity, and Timing. Likeability is not about being nice. Bhargava offers the example of Steve Jobs, who was by most reports very unlikeable, yet succeeded in inspiring and being loved by many.

Being truthful is difficult, which is why we see so little of it. Truth depends on unexpected honesty, unbiased and unvarnished fact, and proactive integrity; that is, acting with integrity *before* you have to. For truth to have an impact, it must be unexpected in some way, such as Domino’s Pizza admitting that their pizza tasted awful and promising to do something about it. An unbiased fact goes beyond survey data and reports and focuses on something that is more than a number, and when integrity is proactive, it becomes a more powerful demonstration of character. For example, efforts by Wells Fargo or Equifax to protect customer privacy will ring hollower because of the fact that they are reactive instead of proactive.

Relevance begins with the understanding of what people care about and why they care about it. It requires knowing about the audience you want to reach and influence. Relevance requires active listening, paying attention to your community and the world around you in order to identify opportunities to where people might care about your organization. Having something meaningful or useful to say or do, and in the right context, can add value to someone’s life or particular situation, and it also demonstrates relevance.

The world is full of examples of global unselfishness and collaboration, from neighbors helping neighbors in the aftermath of hurricanes in Houston or earthquakes in Mexico City, or collaborative efforts, such as Wikipedia. However, it’s often not easy for organizations to act in unselfish ways. Reasons for this include short-term thinking and thinking that business is a zero-sum game with winners and losers. Unselfishness requires human empathy—being able to relate to someone on a human level. It also requires giving freely, without expectations for something in return, and offering value, such as providing a service in an unexpected way.

Simplicity is a well understood concept; it underlies the success of Apple, for example. Simplicity is the reason why Google’s home page has nothing but a text box and a search button. Simplicity reduces confusion and leads to more trust, but simplicity is hard to find and easy to make complicated. Simplifying requires focus, and (as we will see in the section on microstyle) saying less requires thought

and consideration. Simplicity depends on a single, core concept, is highly shareable (or spreadable), and uses natural language that people understand.

Timing is *everything*. You can have the greatest idea, but if the timing is wrong, the idea will fall flat. Gilt.com, for example, is a successful e-commerce site that uses timing to help drive sales. Gilt offers discounted luxury goods for a limited number of days; when a customer puts an item in a shopping cart, they have ten minutes to make the purchase or potentially “lose” the item to another customer. Timing, however, is not easy; good timing can vary from one person to another and is imminently easier to see in hindsight. Timing depends on a sense of urgency—a link to current events that makes your product or service more relevant, and a connection to habits that people already have.

As Bhargava explains, the Khan Academy is an example of likeability in education. Sal Khan is unselfishly adding to the world’s knowledge. His videos are relevant to people who want to learn about math and science, available on demand, and he explains things in simple, easy-to-understand ways. Viewers can see clearly that it is a labor of love, not a textbook company trying to make a buck or an educational institution meeting a mandate.

Let’s Review

- **Stickiness:** How well does your content attract and hold the attention of site visitors?
 - We can measure stickiness by looking at the number and length of visits to our website or social media channels.
- **Spreadability:** How well does your content motivate and facilitate the efforts of your audience to “spread” the word?
 - Spreading content far and wide can introduce you and your products to unanticipated new markets.
- **Likeability:** How well do audiences trust you and your brand? How positive is their impression of you?

Microstyle and Micromessaging: Effective Social Media Messages

We’ll close this unit by zooming in on writing effective copy for social media, using the concepts of “microstyle” and “micromessaging.” Micromessaging follows a larger societal trend toward shorter communications and the growth of micromessaging platforms. People want to get to the point. We can apply elements of microstyle to craft engaging content in extremely small packages. When we think of the micromessage, Twitter immediately comes to mind. With its 140-character limit (recently expanded to 280 characters), Twitter was built on the micromessage. Examples of micromessages also include headlines, taglines, and even company names.

Key Concepts of Microstyle

Meaning

You can only convey so much meaning in 140 characters. Micromessages often function as a starting point, leading readers to reflect, seek out more information, click a link, or engage further with your social media presence. Effective micromessages employ simplicity and clarity to convey meaning. They distill concepts and messages into their simplest form, and they don’t try to do too much. They might just make you think or go “huh?” (e.g., describing the movie *Alien* as “*Jaws* in space”). If an elevator pitch requires you to explain your idea over the course of an elevator ride, think of micromessaging as

an *escalator pitch*, an idea that you have to communicate as you pass someone going the other way on an escalator. Word selection is critical. When you only have the chance to use a handful of words, shades of meaning make a difference. Spend time finding *le mot juste*—the exact word or phrase to convey the right meaning. Meaning needn't be intellectual. Micromessages may convey meaning through an emotional appeal or a strong visual metaphor. Use emotional appeals tactfully, or they can come across as crass. For example, the book title *Addicted to Danger: Affirming Life in the Face of Death* relies on emotionally charged language to capture the reader's interest. Defy expectations and surprise your audience by saying the wrong thing; use a twist that offers a "brain hook." Think of titles such as *Back to the Future*. Other keys to meaning include evoking specific situations and zooming in on telling details. Company names such as The North Face or Patagonia suggest a story and insert the customer into a situation, such as climbing the face of El Capitan, even when they are only going to Costco. Vivid details get your message across without spelling it all out, such as Hemingway's probably apocryphal story, a six-word novel: "For sale: baby shoes, never used." Using metaphor makes abstract concepts real and makes complex concepts understandable.

Keys to Meaning

- **Clarity, simplicity:** Especially in headlines, informational Tweets, email subject lines.
- **Word choice:** Pay attention to nuance; take the time to select *le mot juste*.
- **Imagery:** Concepts with sensory and visual appeal very suited to short messages.
- **Emotional appeal:** Meaning doesn't have to be limited to information. Think about how your message makes your audience *feel*.

Sound

The second key principle to microstyle is the effective use of sound. Even when we are reading silently, we hear the sounds of words in our head. While meaning conveys the essence of your message, sound is how it presents itself to the world. Sound is inexorably linked to meaning and memory. Consonants and vowels make distinct sounds and resonances, so it is important to be aware of how your messages sound. Some things just seem to roll off the tongue. Words make particular sounds that evoke the senses; sounds can be sensuous or harsh, soft or brittle. Note that sound is not the same as spelling; pronunciation changes over time, even as spelling often stays the same. Sound advice includes keeping it simple. (Again, simplicity!) This is why many slogans sound simple (e.g. "Just do it!"). Ensure that the sound of your micromessage is easy to figure out from its spelling, easy to pronounce, and easy to understand when you hear it. Give it rhythm; language has rhythm, so go with it. Rhythm also interacts with other poetic patterns, such as alliteration – the repetition of consonants in neighboring words. Rhyming is often used in micromessaging, with slogans such as "Oh Thank Heaven for Seven Eleven" or phrases such as used in the OJ Simpson murder trial, "If it does not fit, you must acquit." There is a relationship between sound and meaning. Some words sound like what they mean, such as buzz, swoosh, smack. Words have sonority—the flow of air and vibration. High sonority words are often feminine-sounding, like Chanel, Revlon, Avon; low sonority words are often masculine sounding, like Black and Decker, Craftsman, Nike. Etsy, the online crafting site, sounds small, handcrafted, knitted together, itsy bitsy, not like a big manufacturer. Even if you don't intend your words to be read out loud, sound matters. Consonants and vowels make distinct sounds and resonances, which evoke memory and meaning. Pay attention to the rhythm of your language and experiment with rhetorical devices, such as alliteration, which take advantage of a language's natural flow.

Sound Advice

- **Say it out loud:** Be aware of how your messages sound when spoken.

- **Keep it simple:** Make sure the sound is easy to figure out from the spelling, easy to pronounce, and easy to understand when you hear it.
- **Give it rhythm:** Language has rhythm, so go with it.
- **Play with poetic patterns:** Alliteration, rhyme, cadence, the music of language.
- **Make the sound fit:** Exploit the relationship between sound and meaning.

Structure

The third principle to microstyle is structure. In micromessages, it's not always necessary to follow rules of grammar and spelling. It's okay to break the rules, but you should know what you're doing and why; have a reason to break the rules. You can coin a new word (these are called neologisms), make a play on words, or combine words artfully in order to create new meaning greater than the sum of the parts. Microstyle uses a playful attitude; use what works and what sounds good. Misspellings are often used for practical reasons as well as expressive ones. Tumblr and Google are misspelled words. Podcast and Skype are examples of neologisms (podcast, of course, is also a play on the word broadcast); YouTube and Facebook are examples of combining two words for a new creation. Scuba is an example of an acronym that has become a word. Blended words (called *portmanteaux*) include book titles like *Freakonomics* and words like vegangelical (evangelical with vegan). Use grammar expressively to combine concepts in ways that can lead to new insights. The Onion's fake headlines are an example of this; the stories are not important. Sometimes the story is not even there; it's all in the headline, such as "Nation's Dog Owners Demand to Know Who's a Good Boy." Parallelism is a way to repeat structure and add an extra dimension to short messages, such as Charles Dickens' opening lines of *Tale of Two Cities*: "It was the best of times, it was the worst of times; it was the age of wisdom, it was the age of foolishness..." Or Target's slogan: "Expect More, Pay Less." Although generally clichés should be avoided like the plague (!), sometimes it's possible to teach an old cliché new tricks. Idioms, clichés, and other formulaic or common expressions infuse language; they're everywhere. But use with care; give it a twist and find an interesting way to use cliché's by infusing them with new meaning. "Change is inevitable, except from vending machines" or "the worst part of the gravy train is the abrupt stops." The Onion offered the classic headline "Cost of Living Now Outweighs Benefits." Think of the use in book and movie titles, such as *In Cold Blood*, *The Usual Suspects*, *Boys Don't Cry*.

Structure and Word Play

- **Break the rules:** Not always essential to follow grammar and/or spelling conventions.
- Coin a new word: Neologisms.
- Make a play on words.
- Combine words artfully.
- **Use grammar expressively:** Combining concepts in certain ways can lead to new insights.
- **Repeat structures:** Parallelism adds an extra dimension.
- **Teach an old cliché new tricks:** Find a unique twist on an idiom, cliché, or common expression.

Social context

Social networking is a conversation; it, therefore, frequently uses an informal conversational style, treating readers like family and friends. Your microstyle sets the tone for the relationship you want to establish with readers. The "Cluetrain Manifesto," in 1999, urged marketers to have a conversation with their customers. This influential manifesto predated "Web 2.0" and social media. Today, every company has a blog, trying to be conversational, but usually ends up flailing and failing. To be successful, micromessages must be memorable enough to be repeated and interesting enough that people will want to repeat them. What type of relationship do you want to establish? What is the context? Are you

mainly dealing with professionals, academics, students, or teachers? Are your social networking goals to develop long-term or short-term relationships, formal or informal? Many languages, such as Spanish and Japanese, have built-in coding to denote relationship status, such as the use of familiar or formal pronouns in Spanish or the use of honorifics in Japanese. In English, these clues are not necessarily encoded, but clues to relationship status are there, like the difference between “hey, dude” and “excuse me, sir.”

Pay Attention to Context

On the web, marketing has become conversational.

- **Evoke conversation:** Informal conversational style that people use with family and friends.
 - Memorable enough to be repeated and interesting enough that people will want to repeat it.
- **Establish a relationship:** Properties of message set the tone for the relationship you want to establish.
 - What is the context? Work, family, friends?
- **Create a microvoice:** Make a personal impression based on your use of language.
 - “On the internet, nobody knows you’re a dog.”

The properties of the message set the tone for the relationship you want to establish. Make a personal impression based on your use of language. Use any voice you want to, but find one that works for you (or your company, if that’s the case). As we know from Peter Steiner’s 1993 *New Yorker* cartoon, “On the internet, nobody knows you’re a dog.”

Sometimes the impact of a work is not always negative. The case study “The Dark Side of Impact” explores the negative impact of publishing programs. See Appendix B for this case study.

Develop a Social Media Campaign for a New Book

- Select one of the scenarios provided in Appendix C.
- Develop a short marketing plan that includes the following elements:
 - Roles and responsibilities (who will perform which marketing functions, including how the author will participate)
 - Channels (where will you promote your journal and its content)
 - Content types (will you simply link back to articles, or create webinars, or other original content)
 - Schedule (how frequently will you aim to update your channels)
 - Three measurable goals for your social media activities
- Write several Tweets or a short blog post for the book, making sure to apply concepts of microstyle and micromessaging discussed previously.

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Appendix 7-A

Social Media, Analytics, and Other Resources

This inventory includes social media platforms, including those specialized for academics, as well as tools for social analytics. Many of these sites are free or offer a free “lite” version. This listing does not imply any endorsement of individual sites.

- [Academia.edu](#)
- [Alltop](#)
- [Altmetric](#)
- [Audiense](#)
- [Bitly](#)
- [Buffer](#)
- [Buzzfeed](#)
- [Buzzstream](#)
- [Conversation Prism](#)
- [Diigo](#)
- [Followerwonk](#)
- [Google Analytics](#)
- [Hootsuite](#)
- [HowSociable](#)
- [Hypothes.is](#)
- [ImpactStory](#)
- [IBM Watson Personality Insights](#)
- [Klout](#)
- [Mashable](#)
- [Mendeley](#)
- [Netvibes](#)
- [Peoplebrwsr](#)
- [PlumX/Plum Analytics](#)
- [Quantcast](#)
- [Readandnote](#)
- [Reddit](#)
- [SimplyMeasured](#)
- [SocialMention](#)
- [SocialText](#)
- [SproutSocial](#)
- [SumAll](#)
- [The Millions](#)
- [ThingLink](#)
- [Tumblr \(tips\)](#)
- [Tweetdeck](#)
- [TweetReach](#)
- [ViralWoot](#)
- [Zotero](#)

Appendix 7-B

CASE STUDY: The Dark Side of Impact

Abstract

This Impact Module has discussed ways to extend the impact of publishing programs, portfolios, and individual publications. Does impact also have a negative side? A September 2017 article that argued the “case for colonialism” quickly became the journal’s most “popular” article in terms of impact and provoked a protest against the journal and its editor. Ultimately, the article was withdrawn after threats of violence against the editor. Some have argued that while debate and rebuttal are the standard practice in academic publishing, offering rebuttals to questionable or controversial scholarship only plays into the metrics game that motivates some authors and publishers. Note: This case study includes controversial material.

Case Study

Publishing has always gone hand-in-hand with controversy. During the earliest days of print, printers (publishers) in Germany as well as, later, those in Italy, the Low Countries, and other countries, profited from publishing religious pamphlets such as Martin Luther’s writings, tracks on the Reformation and Counter-Reformation, while large, expensive projects such as Gutenberg’s 42-line bible proved largely unprofitable. For having the temerity of translating and publishing the first New Testament printed in the English-language in 1526, William Tyndale was called by Thomas More the “hellhound in the kennel of the devil” who discharges a filthy foam of blasphemies out of his brutish, beastly mouth,” and that his English translation was “the testament of his master, Antichrist.”

The Library of Congress exhibit “Books that Shaped America” celebrates 88 classic American works that “have influenced our lives.” According to the American Library Association, more than a third of the books in the exhibit have been banned, including Mark Twain’s *The Adventures of Huckleberry Finn*, Toni Morrison’s *Beloved*, and Herman Melville’s *Moby-Dick*; or *The Whale*. Dee Brown’s *Bury My Heart at Wounded Knee: An Indian History of the American West*, for example, which “tells the history of United States growth and expansion into the West from the point of view of Native Americans,” was “banned by a school district official in Wisconsin in 1974 because the book might be polemical and they wanted to avoid controversy at all costs. ‘If there’s a possibility that something might be controversial, then why not eliminate it,’ the official stated.”

On September 8, 2017, the journal *Third World Quarterly* published the article “The Case for Colonialism,” by Portland State professor Bruce Gilley. In the article, Gilley argues that “it’s high time to re-evaluate [colonialism’s] pejorative meaning,” since “countries that embraced their colonial inheritance, by and large, did better than those that spurned it. Anti-colonial ideology imposed grave harms on subject peoples and continues to thwart sustained development and a fruitful encounter with modernity in many places.”

Gilley supports his arguments using examples such as Guinea-Bissau and its guerrilla war against Portuguese rule, led by Amílcar Cabral, recommends that “developing countries should replicate as far as possible the colonial governance of their pasts,” and proposes the idea of recolonization in some cases.

The article quickly became the most “popular” articles published by the journal, with more than 16,000 views and an Altmetric score of 1,911. It also immediately provoked a backlash. Fifteen of the journal’s 34 editorial advisory board members subsequently resigned.

A petition to retract the article received more than 10,000 signatures. The petition argued that “The offending article has brought widespread condemnation from scholars around the globe. The article lacks empirical evidence, contains historical inaccuracies, and includes spiteful fallacies.” The petition further stated that “We understand that this piece was rejected after review, and that decision should have been respected and this sub-par scholarship should never have been published. Editor or editors at Third World Quarterly allowing this piece utterly lacking in academic merit to be published should be replaced from the Editorial Board. We do not call for the curtailing of the writer’s freedom of speech. We instead hold ourselves and our colleagues in academia to higher standards than this. We expect academic journals to do the same. Our goal is to raise academic publishing standards and integrity. We thereby call on the editorial team to retract the article and also to apologize for further brutalizing those who have suffered under colonialism.”

On the London School of Economics “Impact Blog,” Portia Roelofs and Max Gallien, a LSE fellow and graduate student, respectively, call the Gilley article “the academic equivalent of a Trump tweet, clickbait with footnotes.” They argue that academia itself has been “hacked,” that the article “represents the culmination of broader trends in academia: from marketisation, to impact, to the promotion of artificially adversarial debate.”

But an article in Inside Higher Ed questioned whether retraction has replaced rebuttal as a form of academic discourse and debate, and whether the Gilley article, along with other recent examples of controversial academic publications, demonstrate an increasing intolerance in academic circles of “disfavored viewpoints.”

Leon Heward Mills, Global Publishing Director (Journals), Taylor & Francis Group, provided a detailed statement outlining the article’s peer review process in Third World Quarterly: “It was double blind peer-reviewed by two referees (in line with the journal’s policy). The first review was returned with a minor revision recommendation, and the second reviewer made a reject recommendation. Due to the opposing review reports, the final decision to publish was made by the Editor-in-Chief, following the author making major revisions.”

The article was later withdrawn by the journal, providing the following statement: “This Viewpoint essay has been withdrawn at the request of the academic journal editor, and in agreement with the author of the essay. Following a number of complaints, Taylor & Francis conducted a thorough investigation into the peer review process on this article. Whilst this clearly demonstrated the essay had undergone double-blind peer review, in line with the journal’s editorial policy, the journal editor has subsequently received serious and credible threats of personal violence. These threats are linked to the publication of this essay. As the publisher, we must take this seriously. Taylor & Francis has a strong and supportive duty of care to all our academic editorial teams, and this is why we are withdrawing this essay.”

As J.P. Romney and Rebecca Romney write in *Printer’s Error: Irreverent Stories from Book History*, “The ability to organize information and distribute it to the public is an incredibly powerful tool. Whether you’re the Catholic Church in the 1500s or mega-corporations fighting Net neutrality in the 2000s, to prioritize information is to control information. And to control information is to control people.”

Appendix 7-C

Title Assessment Scenarios

Title 1: Narrator Catherine, 15, lives miserably in the ramshackle house her newly divorced mother has bought in the dismal town of Silver Lake, northern Michigan. Marlena is her glamorous 17-year-old next-door neighbor. Cat becomes smitten with the euphoria of having a best friend. Marlena is dangerous, however: she runs with a bad crowd, and her father cooks meth. Marlena is irresistible, reckless, and brave; she's a mother substitute for her forlorn younger brother—musically talented, beautiful, doomed to die young. Cat only understands much later that Marlena is the needy one in their relationship. Living in New York 20 years afterwards with her husband and working at a good job, Cat is still damaged by losing Marlena.

Title 2: The craft of spying might be the world's proverbial second oldest profession. What we now call “intelligence” is little more than a century old, and recent technological progress is shifting the world to one in which intelligence methods are increasingly accessible to and used by sub-state actors and even individuals. This book uses the latest scholarship on intelligence to show how it emerged from a minor form of statecraft and war to a widespread influence on world affairs. In recent years, groups and organizations well outside of intelligence agencies and even outside of states entirely now can collect torrents of data—both sensitive and “open source”—and have the same problems evaluating and using it, as well as some of the same security problems, that intelligence agencies had a generation ago. In short, intelligence is now ubiquitous.

Title 3: Set in a terrifyingly plausible future in which the clash between red states and blue has become deadly, and the president has been murdered over a contentious fossil fuels bill. In 2074, Sarah T. Chestnut—called Sarat—comes of age in the neutral state of Louisiana, where she is slowly drawn into the conflict after the death of her father, performing guerrilla operations for the South. Soon she is enmeshed in a resistance movement masterminded by the Dixie militants operating along the Tennessee River, venturing into quarantined South Carolina battlegrounds and Georgia shantytowns alongside spies, assassins, and revolutionaries, like the commanding Adam Bragg and his Salt Lake Boys. Sarat finds brief happiness with Layla, a displaced bar owner from Valdosta, Georgia, but this is only the beginning of Sarat's war, as she is interred in the nightmarish Camp Saturday before being exiled in the wake of a devastating plague. Now an old and broken woman, Sarat must seek redemption in the wreckage of the New World.

Title 4: Few people in the United States realize virtually every Member of Congress employs his or her own press secretary, a person dedicated to meticulously crafting and delivering that politician's image. These individuals, Capitol Hill's “spin doctors,” create well-honed and artfully packaged messages affect our thinking; they angle our opinions; and they shape our perceptions of national and international political issues. Though millions of Americans are exposed to the press secretaries' messages, few can name one. They work behind the scenes, with a singular goal: to make their boss—the Member of Congress they serve—“look good” before the public, as they vigorously promote these American legislators' worldviews. While some accounts have told the story of presidential press secretaries, this is the first to tell the tale of those serving Congress. Readers will understand why Capitol Hill's press secretaries represent a significant—often powerful—and unrecognized influence on the nation's political debate.

Title 5: This book traces the life-long development of George Washington's attitudes toward Native Americans. His first encounter as a teenager left him with the impression that they were nothing more

than an “ignorant people.” Later, he fought as a young man with and against Native Americans during the French and Indian War, gaining a grudging respect for their fighting abilities. During the American Revolution, Washington welcomed Indian allies as friends but said he would do his utmost to crush Indian enemies. As president, he sought to implement a program that he believed would allow Indians to survive in a white-dominated society. He would “civilize” Native Americans by teaching them methods of agriculture and providing the implements of husbandry that would enable them to become proficient farmers. But the hunger for land by white settlers was so rapacious that it could not be controlled by an inadequate federal military establishment, and thus Washington could not protect the land upon which the civilization program was to be implemented. Toward the end of his life, Washington expressed his frustration at the futility of his efforts: “I believe scarcely anything short of a Chinese wall, or line of troops, will restrain Land jobbers, and the encroachment of settlers upon Indian territory.”

Title 6: Research is a central element of the university’s mission. In the past several decades there has been an explosion of digital tools to facilitate and enable research. Zotero and many other innovative tools are widely available to make the entire research cycle more efficient, from collection of data & literature, analysis, writing, publishing & archiving, to outreach and assessment. Particularly for undergraduates, however, there is a lack of understanding on how to effectively use these tools throughout the research cycle. Chapters in this volume will address how to effectively use a variety of tools for each phase of the research cycle, how these tools work together, and how they present opportunities and challenges within each of the workflow phases.

Title 7: A type of hippopotamus, called the river horse, roamed the Potomac River around the time of the Revolution. Smaller than its African cousins, these small creatures were hunted for their ivory and became extinct before the War of 1812. George Washington watched them from the porch of his Mount Vernon home and described them briefly in his papers. Credited with enhancing the fertility of the plantation, Washington believed the river horse brought him good luck, and had false teeth carved from their ivory. Children at Mount Vernon attempted to lure the creatures close to the shore, to touch a nose for good luck. The author, a naturalist, zoologist, and paleontologist, recently discovered these references. In addition, one of the only full skeletons of one of the species, previously mislabeled, was uncovered in warehouse of the Smithsonian Museum of Natural History.

Sustainability Module

About this Module

The Sustainability Module contains four units: 1) Business Basics, 2) Financial Basics, 3) Staffing and Governance, and 4) Preservation. These units address core concerns related to library publishing as a socio-technical system. In order for library publishing endeavors to establish longevity and long-term success, professionals need to address a range of concerns related to people, policies, communities, technologies, and financials.

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Unit 1: Business Basics

Developing a shared vocabulary grounded in basic business concepts enables a library publisher to communicate more effectively with stakeholders within and outside of the libraries. Various terms and concepts associated with traditional business activities have direct relevance to library publishing. They also may be used by professionals from other fields with whom a library publishing professional will engage in the course of their work. These terms and their related concepts enable an understanding of institutional operations and considerations that position library publishing to best serve mission and vision-driven goals for broader impacts, including for publishing underrepresented voices. These terms and concepts are also useful in assessing and planning for the sustainability of library publishing activities.

What You Will Learn

- The ability to demonstrate an understanding of important basic business concepts and their application for library publishing
- How to define projects, programs, and portfolios, and understand the implications of each for sustainability
- How to understand the concept of types of costs, including opportunity cost
- Identify potential funding/revenue streams
- How to understand profit and cost-recovery
- How to understand the financial implications related to scale and scope
- How to understand the ethical context for business considerations of library publishing and positioning of underrepresented voices

Projects, Programs, and Portfolios

In this section, we will introduce some important terms and concepts, beginning with the terms “project,” “program,” and “portfolio.”

Determining whether the library publishing activity will represent a project versus a program is a fundamental consideration because this determines the institutional and business commitments and requirements. For this discussion, we define project, program, and portfolio as:

- **Project:** a temporary enterprise established to deliver specific (often tangible) outputs in line with predefined time, cost, and quality constraints
- **Program:** an enterprise with an undetermined end date, longer-term ambitions, and outcomes that are expansive and often include intangible benefits for an organization
- **Portfolio:** a set of projects (or titles) that are managed and coordinated as one unit with the objective of achieving (often intangible) outcomes and benefits for an organization

Programs, particularly in the publishing context, often contain portfolios. A project will typically be executed and evaluated relative to an approved business case which balances the costs, benefits, and risks of the project. Given the shorter duration, these factors can typically be more easily defined or known at the outset. Figure 1.1 compares dimensions of projects and programs.

	Project	Program
Objectives	Outputs – typically tangible; relatively easy to describe, define and measure; tending towards objective.	Outcomes – often intangible; difficult to quantify; benefits often based on changes with a non-monetized outcome, such as introducing new capabilities.
Scope	Limited and defined; less likely to be subject to material change during the life of the project.	Not tightly defined or bounded; subject to change during the life cycle of the program.
Duration	Relatively short term, typically months.	Relatively long term, typically years or longer.
Risk profile	Project risk is relatively easy to identify and manage. The project failure would result in relatively limited impact on the organization relative to program risk.	Program risk is more complex and potentially the impact on the organization if a risk materializes will be greater relative to project risk. Program failure could result in material, financial, reputational, or operational loss.
Stakeholders	A relatively limited number of stakeholders.	A significant number of diverse stakeholders; potential disagreements or competing goals and priorities.
Operational environment	Environment within which the project takes place is understood and relatively stable.	Environment is dynamic and program objectives need to be managed in the context of the changing environment within which the organization operates.
Resources	Resources to deliver the project can be reasonably estimated in advance.	Resources are relatively unknown over the long-term or at least more difficult to gauge; there is competition for resources between projects.

Figure 1.1: Projects vs. Programs in Library Publishing. A table explaining the differences between projects and programs in library publishing.

An example of a library publishing project could be publishing one Open Access textbook. The textbook project would be established based on relatively well-defined expectations for costs and resource commitments, a focused audience, an anticipated project duration, and limited risk to the library publisher in terms of financial losses and reputation.

Alternatively, a library press would be an example of a library publishing program. Another example of a program would be an ongoing series of textbooks published by a library press: undetermined end

date, less predictable resource demands in the future, many stakeholders with potentially divergent perspectives and expectations, and outcomes that are likely more expansive that might include fiscal sustainability as well as advancing public scholarship or goodwill (e.g., the social and community impact of the work done, the reputation enhancement for the library press or the parent institution). Additionally, a library press or comparable program will have more significant risk for the sponsor. Another way to think about these examples are in the forms of one discrete project versus a portfolio of projects. For example, a university press with its multiple areas with lists and series of titles in each versus a single title or a library digital humanities studio and its dozens of digital projects. Project and program are useful for establishing the framework for considering library publishing costs, income, profit (and loss), and scale and scope.

Projects, Programs, and Shared Language for Sustainable Operations

Program and project managers at libraries have many reasons to think in financial terms and measures. A clear understanding of the common vocabulary, processes, and methods involved allow for successful stakeholder engagement and communication within and beyond the libraries. The following sections provide core concepts and processes for the business basics for planning and operating sustainably.

Costs

Business literature has defined various types of costs. Obviously, costs are a primary consideration of any fiscal activity, including library publishing. To this end, there are two conceptualizations of Total Costs: for *accounting*, Total Costs represent **Fixed Costs + Variable Costs**; for *economics*, Total Costs represent **(Fixed Costs + Variable Costs) + Opportunity Costs**.

- **Fixed Costs:** An expenditure that remains unchanged, in total, irrespective of changes in the levels of production or sales. A typical example for library publishing would be the salary of a librarian, which does not change based upon the output of the project or program.
- **Variable Costs:** An expenditure that, in total, varies directly with the level of activity achieved. For example, a print-on-demand cost of a monograph for vendor setup for each monograph will tend to double if the number of titles (output) doubles. In this example, the setup cost is incurred at a constant rate per unit. In practice, not all variable costs occur at a constant rate; these include semi-variable costs.
- **Semi-variable Costs:** An expenditure that contains both a fixed-cost element and a variable-cost element. Consequently, when activity is zero, the fixed cost will still continue to be incurred. An example for library publishing would be a contractual agreement, where the processing or publishing of 1 to 500 pages is at a fixed cost with a variable rate beyond that range.
- **Opportunity Costs:** The cost of an activity, chosen from an array of potential activities using the limited resources available, measured in terms of the benefit foregone by not pursuing one of the other alternatives. This is probably one of the most common costs incurred by a library publishing activity. Choices will frequently be made between a number of potentially worthwhile publishing activities, and the lost benefit from the non-selected publishing activity will have practical considerations. For example, your press has an opportunity to publish an Open Access textbook for calculus, which would serve many students, or to publish a scholarly work that has a limited audience, but is in an area that has been underrepresented. As the publisher with the capacity for only one activity, you would have to weigh the opportunity costs, along with other factors, in order to arrive at the best choice.

Beyond fixed, variable, and opportunity costs, sunk costs are likely the most relevant consideration for library publishing:

- **Sunk Costs:** An expenditure that has already been incurred and that cannot be recovered. In practical terms, such costs are not relevant to any subsequent spending decisions. However, these costs are relevant in considering potential partnerships. What assets or resources are already in place? An example of a sunk cost is the original cost of a scanner (for digitizing out of print books that will be published digitally). This original sunk cost is not a relevant fiscal consideration when deciding whether or not to replace the scanner.

Funding/Income Types

In most instances, funding for library publishing draws upon two overarching categories of funding and income: hard and soft.

- **Hard Money:** Hard money refers to the reliable and recurring, and often central, funding for the library or press. The prototypical hard money for public institutions is Appropriations, which includes “state funds,” such as tax revenue and (sometimes) lottery revenue. For public and private institutions, funding from tuition and student fees is similarly a source of reliable, recurring hard money funding.
- **Soft Money:** Soft money is distinguishable from hard money in that it is time-limited or non-recurring, and, in many instances, may be revenue directly linked to activities. Examples of soft money include donations, income on endowments, and grants. Donor and grant funds will typically have specific terms of or requirements for use. Additional soft money would be operating revenue, such as sales and fees for services, and non-operational income, such as revenue from licensing.

The differences between these funding types have important considerations for projects and programs. Projects can be funded safely on soft funding, whereas programs cannot. Grant funding (soft money) will be a typical project-based funding source since there are defined expectations for costs and resource commitments, a focused audience, a project duration, and limited risk to the library publisher in terms of financial losses. There are risks to consider when using non-recurring soft funds, including grants, to fund what is intended to be a sustained library publishing program; for example, using soft funds may threaten the future of a program if the funder changes priorities or is otherwise unavailable in the future.

- **Marginal Revenue:** The additional revenue generated as a result of the production of one additional unit of production. For library publishing, this would be the price to a consumer for the purchase of a single publication.

Assets & Liabilities

Many activities, including library publishing, are initiated with the explicit or implicit purpose of producing or generating assets. Assets exist in two categories: tangible and intangible.

- **Tangible assets** are physical objects such as land, buildings, or machinery. Library publishing activities may result in the accumulation of these assets as a necessary outcome of production needs, for example, computers or scanners.
- **Intangible assets** can be neither seen nor touched. These include a wide range of valuable resources that are common to library publishing activities:
 - Competencies and expertise

- Intellectual Property, including copyright, patent, trademark, or design right
- Goodwill
- **Goodwill** (as an intangible asset category) is a commonly anticipated result of library publishing activities, and, in many instances, serves as a primary purpose for the mission-driven publisher. This intangible asset includes user connections and reputation.

Assets may, to varying degrees, be a challenge to value in financial terms, but goodwill is extremely difficult to assess in these terms. Establishing local measures to address this intangible asset may strengthen the case for a library publisher's impact, particularly given the central role of goodwill as an outcome of library publication projects and programs.

- **Liabilities** typically mean a debt or obligation to make a financial payment.
- **Net Assets** (or equity) is an enterprise's assets after reducing for liabilities.

In considering equity for library publishing, it is possible to expand the definition of liabilities to include consideration for the anticipated cost of committed resources, including labor for defined future activities in order to satisfy a project, such as a grant.

Profit and Break-Even (Cost-Recovery)

Income, profit, and margin are important considerations for any commercial activity. Occasionally, these related terms are mistakenly used interchangeably. The relationships and distinctions between them have critical implications for library publishing and the sustainability of programs. Profit can be thought of in two ways:

- **Profit margin:** For a single transaction or set of transactions, the excess of sales revenue over the costs of providing the goods or services sold. This is an important basis for decisions regarding specific publishing activities or a project.
- **Profit:** The surplus of net assets at the end of a period over the net assets at the start of that period. Any additional funding to the activity would be reduced in calculating the profit figure. This is a suitable measure for establishing the return or loss of a programmatic library publishing enterprise. The challenge is in establishing the value in financial terms for intangible, non-monetized assets, like goodwill.

The **Break-Even Point** is an important concept for library publishing that is closely related to profit. The **Unit Contribution** is the selling price of a given unit, less the variable costs of producing it. When the total contribution equal the total fixed costs of a project or program, that publishing enterprise has reached the Break-Even Point: revenue equals costs. Beyond the Break-Even Point, all further Unit Contributions will represent profit. The ability to determine this point is an important element for budgeting. The Break-Even Point would be a goal of a budget based on **cost-recovery**, when the project or program is intended to be minimally self-funding. Obviously, budgeting based on the break-even point incurs risks for sustainability of a project, but even more so for a program with the greater degrees of risk with a longer duration and more complex and dynamic operational environment.

Scale and Scope

For library publishing, the business concerns for margins and per-unit operations are affected by economies of scale and economies of scope:

- **Economies of Scale:** Reductions in the average cost of production, and hence in the unit costs, when output is increased. An obvious example of this economy results from an underutilized scanner. When a scanner is fully used, the fixed cost associated with the investment in this

equipment may be spread across more publication instances and the average cost for this element of production is reduced.

- **Economies of Scope:** The increases in efficiency and sales that can result from producing, distributing, and marketing a range of products, as opposed to a single product or type of product. For library publishing, an example of this could be the development of new policies and procedures after a full program is in place for journals using the Open Journal System (OJS) software. While the new publications, possible Open Access textbooks, would be a new publication type, they could be implemented so as to leverage the prior work for journals.

Business Considerations and Mission-Driven Publishers

Business basics and terminology are critical tools for communicating with stakeholders and colleagues. By understanding business basics, library publishing professionals are better positioned to understand, articulate, communicate, advise, and advocate for publishing that encompasses the full range of considerations, including goodwill and the mission of the publishing operations. It also helps library publishers tie their work concretely to the overall library and institution regarding costs, benefits, risks, and broader impacts. Business basics enable an understanding of institutional operations and considerations; they can be used to position library publishing to best serve the mission and vision goals for broader impacts, including for publishing underrepresented voices and for sustainable operations that align with and further the institutional mission.

While relying upon business processes, library presses are not what most people typically imagine for businesses. Few people start a library press as a money-maker. For library publishing, the operations are shaped by business considerations as well as the ethical context for the mission and vision, where income and profit are not weighted as heavily as they would be in a commercial enterprise. The ethical context includes considerations of how library presses can support underrepresented voices. While not given the same emphasis, business and fiscal considerations are important, and understanding these terminology and concepts positions library publishing professionals to successfully support and lead publishing projects and programs.

Activity: Break-Even Point

The Break-Even Point occurs when revenue equals costs. After reaching the Break-Even Point, all further Unit Contributions represent profit. The ability to determine the Break-Even point is an important element for budgeting, for cost-recovery (when a project or program is intended to be minimally self-funding), and for understanding costs when cost-recovery will not occur. In these cases, it is particularly useful for planning and budgeting appropriately for sustainable operations. Calculating the Break-Even point is done by determining the unit contribution:

Unit Contribution = *selling price of a given unit - variable costs of producing the unit*

Then, dividing the fixed costs by the unit contribution, as in the formula below:

$$\text{Break - Even Point} = \frac{\text{Fixed costs}}{\text{Unit contribution (sales price per unit - variable cost per unit)}}$$

When the total contributions equal the total fixed costs of a project or program, that publishing enterprise has reached the Break-Even Point: revenue equals costs.

Example

Prestigious State University has launched a new library publishing department. The department is planning on publishing a book, *Hive Life*, about the history and poetry of beekeeping and apiarists in the state. As shown in the table below, the fixed costs include the salary and benefits for 40 hours of a librarian's time, print-on-demand setup, complimentary copies, and cover design.

Cost Type	Amount	Total
Print-on-demand setup; publisher descriptive metadata, creation, and distribution	\$600	\$600
Complimentary copies to authors/creators (5) with shipping	5 copies *\$40 each	\$200
Design for cover	\$750	\$750
Subtotal for volume, before salary/benefits		\$1,550
Salary and benefits for the librarian, the publishing professional on the project, for project time: 40 hours	40 hours at rate of \$77,700 annual salary and fringe of 25.7% = (\$77,700*1.257)/52	\$1,878
Total		\$3,428

For this example, the librarian's salary and benefits are part of the institution's commitments to publishing, and many library publishing programs would not represent these costs. Removing the salary and benefits, the fixed costs for *Hive Life* comprise of print on demand setup and costs, complimentary copies, and cover design: \$1,550. For the unit contribution, Prestigious plans to sell each copy of *Hive Life* for \$40 (sales price). The print-on-demand vendor and shipping costs for each copy are \$14 (variable cost per unit). The Break-Even point for *Hive Life* is:

$$\text{Break Even Point} = \frac{\$1,550 \text{ (fixed costs)}}{\$26 \text{ Unit contribution } (\$40 \text{ sales price/ea} - \$14 \text{ variable cost/ea})}$$

The Break-Even point (\$1,550/\$26) is 60 copies. At 60 copies, *Hive Life* will generate \$1,560 in funds, which cover the fixed costs for the title. If the librarian salary and benefits are included, the fixed costs are \$3,428. The Break-Even point with this staff time accounted for (\$3,428/\$26) is 132 copies.

Scenario

Hive Life is well received. Scholars, professionals, and members of the public involved in agriculture want more on the poetry of bees. The statewide educational association and the humanities council are ready to fund a volume of bee-related poetry for inclusion in K-20 classes. The four scholars at Prestigious who led the creation of *Hive Life* are excited. *Hive Life* grew out of their existing collaborations on the history of science, agriculture, literature, creativity, and poetical science, and they want to create the new title, *Songs of Our Hive*. The Dean of the Libraries is pleased with the success of the publishing work, and many new projects are now being pitched. The Dean of the Libraries wants to

ensure full cost-recovery when possible, as it appears to be possible for this new volume, to use the cost-recovery to support even more projects.

While the authors are interested and committed, they also have many other pressures on their time and are interested in seeing if a small stipend might be available for their contributions to the volume, which they can use to support their graduate students in working on this research. The four scholars agree that \$5,000 each is a fair amount.

Cost-recovery for the libraries for this title will be the same as *Hive Life*, except the time for the librarian is projected to rise to 80 hours. Also, interior design will be a new cost, estimated at \$700 for the volume.

Each volume of *Songs of Our Hive* is, again, to be priced at \$40, with the expected production and shipping cost for each to be \$14. This is being planned intentionally based on the positive feedback from the form and costs of *Hive Life*.

Instructions

- Create a list of all of the elements and costs that represent the fixed costs for Songs of Our Hive.
- Use Excel, Google Sheets, or similar to create the budget and formula for the Break-Even point.
- What is the Break-Even point for this new volume without including the librarian's time? What is it with the librarian's time?
- Share your spreadsheet with another learner or group. Review the labels and presentation of the information.

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Unit 2: Financial Basics

Creating budgets and budget planning are critical aspects of professional work throughout libraries, academia, and other areas. Understanding how budgets and financial processes work will enable library publishing professionals to plan, implement, operate, and assess operations for sustainability. Having a strong grasp of financials will enable professionals to plan and make proposals for increasing funding and for optimizing the use of funding. It will also help professionals to be mindful stewards of resources in service to the library's mission and vision, planning for ongoing sustainability and the broadest possible impact.

Budgets and Planning

Budgets define costs and activities; support the management and allocation of resources; and enable goal setting, decision-making, and assessment. There are many different types of budgets and methods for budgeting. Library publishing initiatives may require multiple budgets at the program and project level. Budgets always cover specific periods of time, and budget planning and review are recurring processes, typically conducted at least annually, if not quarterly. The time period for an annual budget may not correspond to the calendar year (January-December); many academic institutions run on a designated fiscal year cycle (e.g., July to June, October to September, or another 12-month period).

Non-profit entities like libraries typically use different budgeting systems than for-profit businesses; one of the more common budgeting methods for library publishers is **zero-based budgeting**. In dynamic and nascent fields like library publishing, resources, costs, and needs may change rapidly from year to year. Traditional budgeting processes start with the previous year's budget and assume that budget allocations will increase incrementally from the previous year. Zero-based budgeting, on the other hand, requires the justification of all old (recurring) and new expenses each year. Basing budgets on current needs instead of past budgets is a particularly useful strategy for encouraging innovation and efficiency.

Budget and Planning Reminder!

- Project budgets: shorter duration and limited
- Program budgets: while ongoing, many of the operational needs are supported by processes that happen for shorter and set durations

Financial Reporting

While budgets serve as internal financial planning and management tools, financial reports, statements, and projections are used to communicate with internal and external audiences for the purposes of accountability, evaluation, decision-making, compliance, and transparency. Library publishing programs should be sure to align their record-keeping and reporting practices with the standards of their institution.

Reports

Financial reports track all financial transactions involving the publisher. They are typically prepared or updated at regular intervals. Common types of financial reports include **Accounts Receivable (AR)** and **Accounts Payable (AP)** reports, which track incoming and outgoing payments, respectively.

- **Accounts Receivable (AR)** represent the amounts owed to the library publisher and which have been invoiced (billed) to the customer. Invoices will include details about the content and terms of the purchase, including the due date of the payment, which is most commonly 30 days or less.
- **Accounts Receivable Aging Report** organizes invoice amounts based on how long they have been outstanding, typically in 30-day increments. The Accounts Receivable Aging Report allows the publisher follow up on outstanding invoices and readily identify customers who have failed to adhere to billing terms.
- **Accounts Payable (AP)** represent the amounts owed by the library publisher for goods and services received. APs are established at the point at which the publisher receives and approves the supplier's invoice for payment, creating a voucher. AP reports allow library publishers to track expenditures and open liabilities in the form of invoices pending payment.
- **History of Payments Report** provides information on the expenditures for a specific period or for a specific vendor. This is important information for understanding the library publisher's financial activities and for assessing adherence to a project or program's operational budget.

Financial Statements

Financial statements tend to provide a more formal and higher-level snapshot of the standing and performance of an organization in a format that is legible to internal and external stakeholders. In commercial settings, stakeholders considering the acquisition of a company's publicly traded stock consult financial statements to understand the risks and benefits associated with their investment. While the implications may be less stark for library publishing stakeholders, financial statements foster transparency and facilitate evaluation of a program's health and viability. Common types of financial statements include the **Balance Sheet**, **Income Statement**, **Statement of Cash Flows**, and **Statement of Stockholders' Equity**.

Balance Sheet offers a snapshot of the financial position of an initiative, like a library press, at a moment in time. The "balance" in the report's name reflects the balancing of assets against liabilities and equity. The Balance Sheet can be thought of as the expression of an important financial formula, which can be written two ways:

$$ASSETS = LIABILITIES + EQUITY$$

$$EQUITY = ASSETS - LIABILITIES$$

Each of the three elements of the equation make up a section of the Balance Sheet.

- **Assets** represent the total of current holdings (cash, equities, accounts receivable, inventory, and prepaid expenses) and non-current holdings (investments, fixed assets, and intangible assets).
- **Liabilities** include current obligations due within one year (debt and interest payments, rents, utilities, taxes, and wages).
- **Deferred obligations** include interest and principal on debt and benefits, such as pensions.
- **Equity** can be thought of as net assets, since it is equal to total assets less total liabilities, or the measured financial value of the library publishing program.

Balance Sheets help organizations assess their financial health by summarizing what an organization owns and owes at a given point in time. It is useful for determining if liabilities are dangerously high compared to assets. The trend in assets versus liabilities over a number of reporting periods may also be

revealing. The following example presents a simplified balance sheet for a library publishing unit within a larger institutional context:

Library Publishing at Prestigious University, Balance Sheet	
Dec. 31, 2016	
<u>Current Assets</u>	<u>Liabilities</u>
Cash \$5,000	Notes payable: \$5,000
Inventory \$5,000	
Supplies \$200	
Total Assets: \$10,200	Total Liabilities: \$5,000

Figure 2.1: Balance Sheet Example. A table showing how a library publishing unit may compose their balance sheet.

Income Statements (also called **Profit and Loss Statements**) show profit generated by an organization over a period of time. The Income Statement includes information on revenues, gains, expenses, and losses. The relationship between these numbers can be expressed through the following equation:

$$\begin{aligned}
 & \text{REVENUES} \\
 & + \text{GAINS} \\
 & - \text{EXPENSES} \\
 & - \text{LOSSES} \\
 & \hline
 & \text{NET PROFIT/LOSS}
 \end{aligned}$$

The following example of an income statement lists the revenues and expenses of an imaginary library publishing program over a six-month period:

Library Press, Prestigious University	
Income Statement, For Period, January 1, 2017-June 30, 2017	
Revenues and Gains	
Sales revenues	\$500
Interest revenues	\$0
Gain on sales of assets	\$0
Total revenue and gains	\$500
Expenses and Losses	
Costs of goods sold	\$250
Commissions expense	\$0
Office supplies expense	\$20
Office equipment expense	\$100

Advertising expense	\$100
Interest expense	\$0
Total expenses and losses	\$470
Net Income	\$30

Figure 2.2: Income Statement Example. A table showing how an income statement may look for a library publishing unit.

On an Income Statement, **revenues** refer to operationally generated income, either from the sale of goods or the delivery of services. Revenue differs from cash on hand because revenue represents the *value* of the activities or earnings, regardless of whether the customers have paid. (Cash on hand, by contrast, is the total amount of available cash to which an organization has immediate access.)

Like revenues, **expenses** represent all financial obligations, whether or not they have been paid at the time the statement is generated.

- **Gains** refer to non-operational income, that is income from investments, the sale of assets, or another activity not associated with the production of goods or the delivery of services.
- **Losses** represent financial obligations outside the direct expenses for the production of goods or the delivery of services, such as legal settlements or investment losses.
- **Net Profit** or **Net Loss** represents the (literal) bottom line: the sum of the financial outcomes of an enterprise. A program that is expected to be self-funding or cost-recovering would be expected to show consistent net profits, or at least a lack of consistent net losses.

A **Statement of Cash Flows** documents the movement of cash in (generated) and out (spent) during a given period of time. The Statement of Cash Flow helps organizations assess solvency or their ability to meet financial obligations. Cash flows are categorized into operating, investing, and financing, and the relationship between them can be expressed in the following:

$$\begin{aligned}
 & (CASH\ RECEIPTS\ FROM\ OPERATIONS - CASH\ PAID\ FOR\ OPERATIONAL\ EXPENSES) \\
 & + (PROCEEDS\ FROM\ INVESTMENTS - CASH\ INVESTED) \\
 & + \underline{(PROCEEDS\ FROM\ FINANCING - PAYMENTS\ FOR\ FINANCING)} \\
 & \quad \quad \quad NET\ INCREASE/DECREASE\ IN\ CASH
 \end{aligned}$$

Unlike the Income Statement, the Statement of Cash Flows reports real-time cash on-hand. It does not reflect income earned but not yet received, nor does it include future financial obligations for which payments have yet to be made. The cash on hand at the end of a period can be expressed through the following formula:

$$\begin{aligned}
 & \quad \quad \quad NET\ INCREASE\ (DECREASE)\ IN\ CASH \\
 & + \underline{CASH\ AT\ THE\ BEGINNING\ OF\ THE\ PERIOD} \\
 & = CASH\ AT\ THE\ END\ OF\ THE\ PERIOD
 \end{aligned}$$

The following example presents a Statement of Cash Flows for a fictional catering company for 12-month period:

<p style="text-align: center;">Cash flow statement for George's Catering for the year ended 31st of May 2010</p>
--

CASH FLOW FROM OPERATING ACTIVITIES	
Cash receipts from customers	15,500
Cash paid to suppliers and employees	(4,200)
Cash generated from operations	11,300
Net cash flow from operating activities	11,300
CASH FLOW FROM INVESTING ACTIVITIES	
Additions to equipment	(12,000)
Net cash flow from investing activities	(12,000)
CASH FLOW FROM FINANCING ACTIVITIES	0
Proceeds from capital contributed	15,000
Drawings	(500)
Proceeds from loan	5,000
Payment of loan	(4,000)
Net cash flow from financing activities	15,500
NET INCREASE/DECREASE IN CASH	14,800
Cash at the beginning of the period	-
Cash at the end of the period	14,800

Figure 2.3: Statement of Cash Flows Example. A table showing how a Statement of Cash Flows may look for a library publishing unit.

Adapting Reports for Stakeholders

Financial statements and reports are used in commercial settings to provide investors with reliable and understandable financial information. This is the environment in which the standard format for financial statements and projections evolved. Library publishers may find they need to adapt these reports to reflect their unique funding and operational realities. Figure 2.4 is an example of this adaptation in the form of a monthly report for one of the Health Science Center Libraries of the University of Florida. It combines features of a Balance Sheet, an Income Statement, and a Statement of Cash Flows in order to summarily communicate the global financial circumstances of this particular library for a given month. It shows current assets (“Available”) after accounting for liabilities (the encumbrances included in “Expenses”); depicts anticipated revenue from a variety of funding sources, as well as estimated expenses and encumbrances; and reflects cash available at the end of the month.

Health Science Center Libraries (excluding Borland) 2016-2017 Budget Year-To-Date June 30, 2017				
Appropriated Funds	Authorized Budget	Actual	Expenses - 1	Available
Materials - 2	\$1,628,997	\$1,728,997	\$1,728,997	\$0
Other Expenses - 3	\$151,864	\$229,141	\$221,580	\$7,561
OPS	\$61,829	\$61,829	\$58,443	\$3,386
Salaries & Benefits - 4	\$2,037,164	\$1,854,753	\$1,758,124	\$96,629
	\$3,879,854	\$3,874,720	\$3,767,144	\$107,576
Other Recurring Income	Budget	Actual	Expenses	Available
Division of Sponsored Programs	\$331,115	\$331,115	\$331,115	\$0
Development Contribution - 5	Budget	Actual	Expenses	Available
Endowment Value as of 6/30/17	\$1,574,594			
Spendable Endowment Income	\$60,000	\$56,254	\$0	\$56,254
New Gift Income - 6	\$25,000	\$3,206	\$0	\$3,206
	\$85,000	\$59,460	\$0	\$59,460
Total Recurring Income	\$4,295,969	\$4,265,295	\$4,098,259	\$167,036
Non-Recurring Funds	Budget	Actual	Expenses	Available
External Grants	\$32,741	\$41,609	\$19,999	\$21,610
Special Funding - Other Campus Units - 7	\$14,613	\$321,913	\$309,413	\$12,500
Carry Forward Funds	\$222,789	\$222,789	\$206,796	\$15,993
	\$270,143	\$586,311	\$536,208	\$50,103
Development Spendable Carry Forward	Begin Balance	Actual	Expenses	Available
Books & Materials	\$22,244	\$22,244	\$0	\$22,244
Departmental	\$109,683	\$109,683	\$17,045	\$92,638
Non-endowed	\$10,863	\$10,863	\$3,232	\$7,631
	\$142,790	\$142,790	\$20,277	\$122,513
Auxiliary Income	Begin Balance	Bal + Income	Expenses	Available
Photocopy, ILL, etc.	\$47,110	\$103,983	\$13,228	\$90,755
Incidental Trust Fund - 8	\$33,786	\$40,525	\$7,239	\$33,286
	\$80,897	\$144,508	\$20,467	\$124,041
Total Non-Recurring Funds	\$493,829	\$873,609	\$576,952	\$296,657
TOTAL SPENDABLE FUNDS	\$4,789,798	\$5,138,904	\$4,675,211	\$463,693

Figure 2.4: Monthly Report Example. An example of what a monthly report may look like for a library publishing unit.

Projections

Comparing financial statements over time can provide insight on trends and suggest future performance, allowing library publishers to plan ahead. For example, Balance Sheets, when viewed as a series, can suggest trends in the gain or loss of assets and liabilities. The revenue, expense, and net profits figures for successive periods from the Income Statement might predict profitability in the

future. Budget projections become more tenuous and less useful for supporting sustainability if the period of the projections is too long. Unreliable projections do not support decision-making.

One common type of financial projection is a **Cash Flow Forecast**, which estimates a future cash balance and, therefore, solvency. This information allows leaders to make decisions about the timing of investments in new equipment or make the case for increased funding. The Cash Flow Forecast begins with the current cash balance and then adds the amount of anticipated cash receipts over a period of time. This number is reduced by anticipated cash expenditures. The relationship between these numbers can be expressed as follows:

$$\begin{aligned}
 & \text{CASH AT THE BEGINNING OF THE PERIOD} \\
 & + \text{PROJECTED CASH RECEIPTS} \\
 & - \text{PROJECTED CASH DISBURSEMENTS} \\
 & \text{CASH AT THE END OF THE PERIOD}
 \end{aligned}$$

The forecast period is a critical consideration. The forecast period will often be monthly, quarterly, and/or annually. The decision on the length of the forecast period will depend on the needs or demands of the stakeholders. A primary factor in determining the forecast period will be the decision-making needs of the program leadership, the timing of anticipated cash flow, and the projected cash flow margin. Cash flow projections are an important part of setting sales goals and planning expenses to support those sales. Projections can also help publishers determine their **Break-Even Point** during expansions or the launch of a new initiative. Similarly, projections of cash on hand help ensure that publishers have adequate cash on hand for seasonal, intermittent, or cyclical increases or decreases in the inflow or disbursements of cash, particularly when cash inflow and disbursement changes are not synchronized.

Sources of Cash	Opening Balances	Month 1	Month 2	Month 3	Month 4	Month 5	Month 6	Month 7	Month 8	Month 9	Month 10	Month 11	Month 12
Beginning Cash		(8,785)	(5,512)	(1,287)	(9,302)	(3,927)	10,198	7,573	13,398	20,193	18,988	21,518	23,963
Cash Sales		4,800	5,700	6,600	8,400	18,000	9,000	9,000	9,000	6,600	5,400	5,100	4,800
Collections on A/R													
Interest Income													
Loan Received													
Equity Contribution													
Total Cash Available	-	(3,985)	188	5,313	(902)	14,073	19,198	16,573	22,398	26,793	24,388	26,618	28,763
Operating Uses of Cash													
Contract labor	1,000	700	600	1,200	1,800	1,800	1,200	750	500	400	400	400	400
Wages													
Payroll Taxes													
Rent	500	500	500	500	500	500	500	500	500	500	500	500	500
Phone	250	125	125	125	125	125	125	125	125	125	125	125	125
Office Supplies	200	50	50	50	50	50	50	50	50	50	50	50	50
Utilities													
Insurance	200			200			200			200			200
Licenses	200												
Marketing	450	152	200	150	50	600	40	250	30	175	95	180	100
Professional Fees													
Total Op Cash	2,800	1,527	1,475	2,225	2,525	3,075	2,115	1,675	1,205	1,450	1,170	1,255	1,375
Net Cash	(2,800)	(5,512)	(1,287)	3,088	(3,427)	10,998	17,083	14,898	21,193	25,343	23,218	25,363	27,388
Non Operating Uses of Cash													
Debt Service													
Capital Purchases													
Self Employment Taxes					500			500			500		
Owner's Draw						800	900	1,000	1,000	1,000	1,200	1,400	1,500
Inventory Purchases	5,985			12,390			8,610			5,355			
Ending Cash	(8,785)	(5,512)	(1,287)	(9,302)	(3,927)	10,198	7,573	13,398	20,193	18,988	21,518	23,963	25,888

Figure 2.5: Sample Cash Flow Projection. A table showing what a cash flow projection may look like for a library publishing unit.

Conclusion

While typical business financial reporting and projecting templates would not best match the goals with reporting for intangible assets (e.g., goodwill), budget reporting methods and examples from within libraries and library publishing are essential tools for immediate operations and ongoing sustainability. This reporting can be done by considering, selecting, and modifying existing standard reports that best reflect the local operations, and then including additional entries for volunteer time and other quantifiable impacts and outcomes. In some cases, this is more easily done, as with reporting on volunteer time. In others, the reports require additional narrative information included, as with a transmittal memo attached as a header, footnote, or additional document to the financial report.

Depending on the publishing operations, an assessment that defines costs and creates a methodology may be an appropriate process. With the rapid growth of library publishing, there is a need and opportunity for library publishing professionals to come together and share local, specific business models and reports, and to utilize those in developing standard report types and costs. This is a common process as new activities mature. Past examples of this in libraries is the Digital Library Federation's (DLF) digitization cost calculator and the AUP's Digital Monograph Costing Tool. Understanding financial concepts and reports provide foundational grounding for library publishing professionals to participate in the community work ahead.

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Unit 3: Staffing and Governance

For any organization, some of the most serious and consequential decisions involve staffing. For library publishing, addressing staffing needs requires knowledge of different position types, services and activities involved in library publishing, types of staffing (including external, outsourcing, contract workers, and employees), and ethical practices for hiring. Staffing is critical for organizational operations and for growing an organization's capacity for change. As a new and innovative area, library publishing presents opportunities for change which may include risks for negative impact as well as opportunities to enhance core values through attention to staffing and hiring practices.

Staffing and sustainability are closely related because of the resource costs (which are likely to be one of the largest expense types for the publishing enterprise) and the capacity implications presented in staffing (including opportunity for ongoing programmatic activities and growth). This unit will discuss the range of staffing options a library publishing project or program should consider as it establishes its operations, expands or streamlines its offerings, and/or cultivates shared services with other institutions.

What You Will Learn

- To understand key roles and positions in library publishing units
- How to identify similarities and differences between staffing models across several library publishing programs
- How to identify when library publishing activities can be completed in house and when contracting may be necessary
- How to write effective and inclusive position descriptions that encourage diverse applicants to apply
- To understand the importance of diverse voices in both editorial and advisory boards.

Position Types and Appointment Types

Staffing for sustainable operations includes considering when it is preferable to have full-time, permanent, or dedicated staffing, and when contract work is more appropriate. Library publishing programs normally include staffing of one or more types of positions:

- Professional Librarian
- Other Professional
- Support or other para-professional (exempt and non-exempt)
- Temporary workers (e.g., hourly student workers, grant-funded positions)
- Interns (paid and unpaid)

Most library publishing positions have people in one or more of these roles who are full-time and permanent, but not all have a Full Time Equivalent (FTE - meaning 40 hours/week of dedicated staff time) or multiple FTEs dedicated to library publishing. The mix of staffing types and the workload allocations available for library publishing impact a program's operations and sustainability. For each position type, there are corresponding appointment options. For example, in academic libraries (currently the most common location for library publishing programs), librarian appointment categories include:

- Tenured faculty

- Non-tenured faculty
- Tenured (or similar) staff
- Non-tenured staff

Each appointment category and position type bare different rights, responsibilities, and authority within an institution; as such, it is important for library publishing programs to consider the ethical appropriateness of staffing models before they are deployed and as part of their regular programmatic evaluation activities. Particularly in new and innovative areas, time-limited positions and appointments are common (e.g., grant-funded positions and internships). For example, in recent years, the Council on Library and Information Resources (CLIR) Postdoctoral Fellows Program has placed many Fellows in academic libraries in areas including library publishing. These are excellent programs to grow the labor force and create innovative capacity.

New areas often also engage unpaid labor in the form of volunteering and internships. In considering whether/how to include some level of unpaid labor in the staffing model, library publishing professionals should consider the full program of their services and activities, the costs of managing unpaid labor, how the labor will be compensated if not financially (e.g., course credit, the development of transferable professional experiences, skills and/or knowledge), and whether the level of compensation is clear and equitable. The types of positions and appointments used by a library publishing program ultimately determine the human capacity for the work that can be done and should be well aligned with program goals.

What Do Library Publishers Do?

Regarding staffing for library publishing, common core services and activities that relate to the people, policies, communities, and technologies in use for library publishing include:

- Project/program management
- Consulting
- Project development
- Metadata processing
- Warehousing
- Sales and accounting
- Submission to institutional or another repository
- Assignment of permanent URL
- Online presentation for access
- Digital preservation
- Market analysis, including expert liaison for publication market
- Advertising, including direct mail, print marketing, paid online marketing
- Press releases
- Review copies
- Inclusion in publisher catalog
- Inclusion in library catalog
- Outreach events and activities
- Activities targeting integration with research and teaching
- Activities targeting public scholarship, broader impacts, public engagement

Many of these activities may appear straightforward, but the underlying activities can be extremely complex. For example, metadata processing in a library publishing context may encompass a broad

range of individual tasks related to publishing interoperability and translation across a range of platforms and needs. Depending on how library publishing activities are structured within an organization, staffing for aspects of this work may be based in the library, in an institutional press, or outsourced. Tasks around metadata might include processing (e.g., creation of metadata for new works, including DOIs), enhancement of metadata for additional forms (e.g., ePUB version of a prior print-only book), creation of metadata for related objects (e.g., a data set related to a monograph), and updating existing metadata (e.g., if supplemental or related materials are published after an initial publication has occurred, adding metadata to the original publication to ensure all materials are related and findable). Metadata includes both library standards (e.g., catalog records and technical related to repositories) and publisher standards (e.g., ONIX, CIP, etc.). Depending on the organizational structure and the scope of the library publishing program, these metadata activities may or may not be within scope. Further, the activities may be completed by one person, one group, or a combination of staffing through different models. Depending on the operations, personnel activities may also include additional services which are currently less common, but still present, across library publishing units:

- Acquisitions
- Content development
- Developmental editing
- List development
- Copyediting
- Design
- Typesetting
- Proofreading
- Indexing
- ISBN and copyright assignment
- Peer review

Inclusion of these activities in a program will relate to its goals, operations, and intended services. Adding or including services such as design or copyediting will require additional types of personnel expertise. As a library publisher seeks to increase its service offerings, it must grapple with sustainability concerns, including how best to staff its program to allow for that expansion (e.g., via training existing staff, hiring contractors, or creating new “lines” or positions). (For more on these activities, please see [The Costs of Publishing Monographs Toward a Transparent Methodology](#), Nancy L. Maron, Christine Mulhern, Daniel Rossman, Kimberly Schmelzinger, 2016.)

Staffing Models: Internal, External, Outsourcing, and Collaboration

Library publishing operations tend to start small and build up over time according to campus need, available resources, and programmatic vision. While some programs do begin by establishing a new, full unit, it is far more common to have an individual or a small number of staff assigned responsibility for budding library publishing services and activities, and to then have this dedicated staffing complemented by others as the program grows. This model is akin to a start-up or incubator staffing design and is common with the expansion in to new and innovative service areas.

Understanding staffing models for library publishing aids in planning for optimal levels for both immediate operations and for ongoing growth in terms of building capacity in a sustainable manner.

Staffing models can vary greatly with many different components, but in this context, understanding the distinctions between two types of workers is fundamental:

- Employees
- Contractors

Per Black's Law Dictionary, an **employee** is "a person in the service of another under any contract of hire, express or implied, oral or written, where the employer has the power or right to control and direct the employee in the material details of how the work is to be performed." By contrast, an **independent contractor** is a worker who "in the exercise of an independent employment, contracts to do a piece of work according to his own methods and is subject to his employer's control only as to the end product or final result of his work." Differences in the legal implications of hiring employees vs. contractors (e.g., regarding entitlements and employer responsibilities and control) are substantial and should be thoroughly considered.

Additional routes for achieving the staffing support necessary to perform library publishing activities may include engaging an external firm or entering into collaborative partnerships with peer institutions. This may be a financial arrangement or a commitment to engage in aligned elements of the processes necessary to produce and/or sustain library publishing.

Case Study

To illustrate the importance of staffing model decisions, we will turn to the University of Florida (UF), where library publishing is developing in two core areas:

- Journal publishing, with the Open Journal Systems (OJS) Service Team in the Libraries
- LibraryPress@UF, a joint imprint of the UF Press and the Libraries

The OJS Service Team is comprised of a group of library faculty and professional staff who provide expertise on using the OJS system to local faculty and students who want to launch and operate journals. The OJS Service Team includes a Team Lead who draws upon existing expertise and skills within the library to implement service model programs. UF's staffing intentionally utilizes existing employees by aligning services with staff competencies and responsibilities as defined in their job descriptions. In this example, the labor costs are the standard costs for employees and so include salaries, mandated benefits (e.g., federally required benefits, workers' compensation), and non-mandated benefits (e.g., retirement plans, healthcare-related insurance, paid leave).

With direct staffing through employee or independent contractors, job duties and roles are defined within and controlled by the library. For external outsourcing, partnerships, and collaborations, the roles are defined by the employer entity with their workers or the contractor to align with a project charter, memoranda (e.g., see the *Policy Unit* for example memorandum of agreement or MOA and memorandum of understanding or MOU), or contract. A single library publishing unit might utilize many of these agreements to support its various staffing needs and components and to achieve an effective and sustainable human resources model.

Continuing with the UF example, in addition to the OJS Service Team, the Libraries collaborated with the university press (UF Press) to create LibraryPress@UF as a joint imprint. This is a defined partnership, with a memorandum of understanding (MOU) establishing the LibraryPress@UF with defined roles, responsibilities, and financial commitments. The LibraryPress@UF is also a collaboration. The staffing for the LibraryPress@UF works on a distributed model and builds upon the existing collaboration with the UF Press and Libraries on a shared grant-funded project to bring out of print books back to life in re-born digital eBook file formats.

Like the OJS Service team, the LibraryPress@UF utilizes capacity from three existing employees: the Library Dean and Press Director, as the co-Directors, and the Digital Scholarship Librarian, as the Editor-in-Chief. In addition, the Libraries created the LibraryPress@UF Coordinator as a new professional-level staff position. The LibraryPress@UF also utilizes internal expertise from various groups in the Libraries for metadata, digital preservation, and findability, as well as experts within the UF Press for publishing, sales and accounting, warehousing, and dissemination. For example, the cataloging librarians create LibraryPress@UF's metadata in several formats including library MARC records and Cataloging-in-Publication (CIP) records. The digital production team in the libraries ingests the MARC records into the repository, creating METS/MODS and the permanent URL for LibraryPress@UF publications. As with all repository items, once they enter the repository, the publications are part of the standard digital preservation processes and operations with support from the digital production and preservation teams. Based on the collaboration and partnership with the UF Press, the LibraryPress@UF accesses various external and outsourced services that the UF Press maintains, including for print-on-demand, printing services, and design. When items will be sold as print-on-demand, the Press creates the online storefront for purchasing and sends the link to the Libraries, who then add the "Buy This Book" link to the item in the repository. The work for these activities is coordinated by the Editor-in-Chief, and will soon be coordinated by the LibraryPress@UF Coordinator. Thus, the distributed activities within the Libraries are complemented by activities undertaken by the Press, as coordinated by minimal officially designated staff people.

Library publishing units often pursue external and outsourced services directly. Collaboration, whether with a local press or with a larger community group like the Library Publishing Coalition, is a critical concern in regards to staffing both internal operations and for external and outsourced activities.

Activity: Library Publishing Staffing Models

Choose one program:

- NYU Libraries Staffing:
 - [Org Chart](#)
 - [Staff Directory](#)
- Michigan Publishing:
 - [Staff Directory](#)

Analyze the library publishing program's staffing model and answer the following:

- What position types are present in this organization?
- What appointment types does this organization have for librarians?
- What staffing gaps do you see in this program?

Sustainability, Hiring, and Diversity: The Sound of Their Shoes

Library publishing is a quickly growing specialty area, with new positions emerging regularly. This is evident by looking both at the number and the specificity of job descriptions (e.g., postings on the [LPC Jobs Board](#) and the [AAUP Jobs List](#)) that describe an increasingly well-defined set of skills, competencies, and experience required. Still, this is a young field, and locating the right candidate for a position can be challenging. (See Appendix A for examples of job postings.)

To recruit talent for a growing, innovative field, employers must craft job descriptions accurately and post them broadly. For example, if a position requires experience in contract negotiations with authors, the job description may include this specifically instead of stating that applicants must have

experience at a university press or a library press for negotiations with authors. Being more specific and less restrictive opens the applicant pool to experienced potential applicants who have work experience from magazines, online publications, textbook publishers, and more. In order to ensure that a job ad does not foreclose many potential applicants, libraries may also consider making an MLS degree optional instead of required. Once candidates are engaged, deploying recruitment tools such as behavioral-based interviewing, which asks for specific examples to gain insight into an applicant's credentials and knowledge, may help institutions to identify excellent candidates who have transferable skills from previous work experiences.

In hiring and staffing practices, salaries figure as an important concern. **Internal equity** refers to the comparison of positions within the organization to ensure fair compensation. **External equity** refers to the comparison to positions outside the organization to ensure equitable compensation to those performing similar jobs. Internal and external equity are essential parts of sustainable operations because employees may leave if these are not in place. Especially in the context of politics, stakeholders, and governance, internal and external equity relate to **distributive justice**, which refers to how people perceive of the fairness of outcomes. Connected to this is the concept of **procedural equity** or **procedural justice**, which refers to the fairness of the processes that lead to outcomes, as with fairness in processes for dispute resolution and resource allocation.

As the readings for this module explain ([Grigsby Bates](#); [Miley](#)), implicit bias, false conceptions of meritocracy, and workplace practices can be discriminatory without intent; moreover, intentional efforts are needed to counter these and other biased forces. Library publishing can recruit staff from a wide pool of potential qualified applicants, including those who have developed relevant skills within a range of organizational contexts and degree programs. As a result, library publishing is well positioned to recruit for diversity and inclusion; it can enhance this positioning by explicitly naming diversity and inclusion in the job ad as important factors and by conducting targeted outreach.

When articulating core requirements and considering how to reduce bias and increase diversity, library publishers can learn from other fields. An evocative example comes from orchestra staffing and the sound of an applicant's shoes. As explained in *The Guardian*:

"It wasn't until 1980 that any of these top orchestras had 10% female musicians. [...] The size of a major orchestra is quite stable; they all have around 100 musicians. Furthermore, the types of jobs do not change. The increase in the number of women cannot be attributed to a redistribution giving the orchestra fewer bassists — traditionally played by men — and more harpists — where more women are found. [...] In the 1970s and 1980s, orchestras began using blind auditions. Candidates are situated on a stage behind a screen to play for a jury that cannot see them. In some orchestras, blind auditions are used just for the preliminary selection while others use it all the way to the end, until a hiring decision is made. Even when the screen is only used for the preliminary round, it has a powerful impact; researchers have determined that this step alone makes it 50% more likely that a woman will advance to the finals. And the screen has also been demonstrated to be the source of a surge in the number of women being offered positions. By the way, even a screen doesn't always yield a gender blind event. Screens keep juries from seeing the candidates move into position, but the telltale sounds of a woman's shoes allegedly influenced some jury members such that aspiring musicians were instructed to remove their footwear before coming onto the stage."

Authoring a good job description requires first knowing what the particular position will do. This can be difficult for new positions and with distributed staffing models, which are common to library publishing. When writing position or job descriptions for library publishing:

- Consult examples from the [LPC Jobs Board](#) and the [AAUP Jobs List](#)
- Consider the local publishing and institutional context
- Write a summary that explains why this position exists in a few sentences
- Describe the duties assigned to the position
- State the abilities and skills needed for the job duties, using precise job-related terms that are not “jargon”
- Identify requirements (e.g., experience, any specific knowledge, certifications)
- State specific qualifications and level of education required for the job
- Note that the majority of library publishing programs do not require a Masters in Library/Information Science
 - Include a salary range. The primary reason employers do not include a salary range is in order to preserve their own negotiating advantage over prospective employees. Studies show that this disproportionately harms underrepresented and marginalized populations.

Determining the qualifications—required or minimum and preferred or desired—is the most important element of the position description, as qualifications should guide the review of applicants and selection process. It is essential that efforts are made to ensure qualifications allow for diverse work experience, education, and skills and avoid inappropriate and/or discriminatory requirements. All required qualifications should be reviewed to determine if they are necessary, clear, fair, and measurable. The stated requirements for a position can have the effect of creating unnecessary barriers to potentially qualified candidates. For example, a job description might focus on skills and competencies relevant to editing, instead of more restrictively requiring editing experience in a University Press. Library publishing requires a variety of skills and aptitudes alongside such “soft skills” as flexibility, openness to change, and creativity, which makes hiring practices essential considerations for staffing as part of sustainability.

The composition of hiring committees should promote multiple perspectives and balance potential or actual biases. Since screening is such a critical process, it is useful for the committee to discuss the qualifications and expected evidence for meeting the qualifications and develop the evaluation method or rubric before screening of applications begins. This helps to ensure that consistent standards are applied and that the review is an evidence-based approach that is done objectively and fairly. Conscientious reference checks provide critical input in the selection process and serve as due diligence in verifying the skills and abilities of the applicants. Standardized interview processes for all candidates, including the use of the same set of relevant questions, increase the equitability of the process across candidates.

Building from the hiring process, the organizational culture requires ongoing work to support diversity and staffing for sustainability. A critical component in sustaining a diverse workforce (and for overall sustainability) is creating an environment where people want to remain. For example, in Alachua County, Florida, the County passed a living wage ordinance that allocated budgetary funds to increase the pay rate in recognition of an ethical imperative. In doing so, the County, in the end, realized a cost savings because of reduced staff turnover. That reduction resulted in lower costs for hiring, recruitment, training, and contract work. Staffing for sustainability requires considering the complex array of socio-technical concerns for sustainability, including ethical considerations.

Guidelines for Recruiting Academic Librarians

Required Qualifications:

- Be specific. Ask for the minimum or a range. For example, a posting should state “at least one year of experience,” not “some experience.”
- Limit the qualifications to those that can be clearly assessed, quantifiably or qualitatively, and are necessary for the performance of the work.
- Clearly communicate any bona fide physical requirements. Be very cautious when considering physical requirements as these must be directly related to specific job duties.

Preferred Qualifications:

- Include those qualifications that would make the transition for the new employee easier.
- Look at the skills of all employees working in the unit and think in terms of complementing those skill sets.
- Keep in mind long-term strategic goals.
- Further reading: [ACRL Guidelines](#), 2017.

Activity: Take a Look!

Pick a job from the [Library Publishing Coalition Job Board](#) and answer the following:

- Does the position clearly specify required versus preferred qualifications?
- How does the position description welcome a diverse applicant pool?
- Do any of the requirements create unnecessary barriers to qualified applicants from diverse or non-traditional backgrounds?

Politics and Governance

Politics refers to efforts, through the use of influence or persuasion, to affect outcomes. **Governance** refers to the set of formal and informal policies, rules, processes, official roles, and responsibilities that support creating, managing, and controlling activities, including projects and programs.

Library publishing activities and units at a large scope and scale are a relatively new development. Many library publishing programs have developed in response to local technical needs, with stakeholders and governance determined as the processes and programs evolve. Balancing politics, stakeholders, and governance requires situating library publishing within existing contexts, which include traditional scholarly publishing and its associated demands related to prestige and funding. The larger context of traditional scholarly publishing, including economic models for scholarly publishing, provides a useful frame. This extended frame is important for where library publishing is and can be, especially in relation to the potential for inclusion of underrepresented groups.

- **Editorial Boards and Advisory Committees** are particularly important groups of stakeholders who are structurally empowered to engage in politics and governance. Respondents to the [2017 ARL SPEC ARL SPEC Kit 357: Libraries, Presses, and Publishing](#) reported the high value and benefit in having advisory committees and editorial boards for library publishing. In addition to peer review, which provides support for improvement and validation, editorial boards and advisory committees are formal structures for eliciting and utilizing guidance, direction, and expertise in a manner that accords responsibility, authority, and accountability for all stakeholders. These committees and boards are created specifically to engage in a structured manner, for the benefit of specific projects, programs, or the full publishing unit or press as a program. These groups provide multiple essential functions, including by serving as leaders and providing a conduit to research communities. Building and maintaining high-functioning boards and committees is critical for sustainability.

- **Editorial boards** typically serve to support an individual publication or publication series (e.g., an individual monograph title, a monograph series, a journal, a journal series or family, an Open Access textbook program). (Editorial boards are covered in more detail in the Impact module.)
- **Advisory committees or advisory boards** are often focused on broad concerns, as with directing the full program for library publishing. Many grant-based projects, which often later become programs, create advisory committees or boards specific to the project goals. For example, the Digital Library of the Caribbean (dLOC) undertook a full review of its scholarly advisory board after moving from project to program, resulting in the report [Scholarly Advisory Board Re-envisioning, 2015-2017](#). The creation of an initial advisory structure for a project, which may evolve and continue if the project moves to a program, can also be seen with the many projects funded through the [National Endowment for the Humanities and Andrew W. Mellon Foundation's Humanities Open Books Program](#). The type, level of involvement, and formality for advisory boards can be highly varied. For example, the American Association of University Professors maintains [Faculty Communication with Governing Boards: Best Practices](#) where faculty communication and engagement is exceptionally complex. Advisory committees for library publishing are likely to be far less complex. However, these committees may also be in communication with groups with much higher complexity, which increases the importance of understanding the full landscape for the mission of library publishing in relation to the many stakeholders, and the overall role and place of library publishing.

Developing the organizational structure and stakeholder engagement strategy of an advisory committee or board will depend on the circumstances. In some cases, the process may include developing bylaws for the role and governance of the group as well as the member composition and selection process. This model can be seen with many scholarly and community organizations, as with the [Florida Digital Humanities Consortium](#).

In many cases, the advisory committee will be defined with a committee charge or similar structure that is less formal in some regards, which may include an appointment instead of election process for members. One example of the process of creating an advisory board that engages in publishing is the *Baldwin Library of Children's Literature Scholars Council (BLSC)*. The [Proposal for the Baldwin Library of Children's Literature Scholars Council](#) provides details on the structure, including mission; structure for representation with members internal and external to the institution; information on the proposed publications interest group and how it will report and operate under the guidance of the Council; expectations for the first and subsequent years of the Council; and an explanation of benefits to the library, larger institution, and representatives serving on the Council. The BLSC is specifically situated as an advisory board for a library collection, and thus functions at a program level. The BLSC includes library, scholar, and student representatives from the local institution and the larger community for children's literature collections and scholarship because the BLSC functions to support internal and external activities, including through library publishing. Planning and development of the BLSC was supported by [grant funding](#), which brought together experts to define the mission, role, goals, and structure for the Council. The [planning meeting materials](#) also illuminate the process which included participants discussing such questions as, "How do existing models from outside the library community work for this Scholars Council and within the library infrastructure?"

In some cases, an existing advisory committee or board structure may be available to support library publishing. For others, engaging an advisory committee will require local assessment and constituent engagement to develop the best-fit mission, structure, and goals for the committee. In the process of utilizing or creating an advisory committee or board, diversity is a critical concern. As explained in Emily Ford, Wendi Arant Kaspar, and Peggy Seiden's article ["Diversity of ACRL Publications, Editorial Board](#)

[Demographics: A Report from ACRL's Publications Coordinating Committee](#)," which developed when the Publications Coordinating Committee (PCC) sought to improve diversity, equity, and inclusion on ACRL publication editorial boards:

"We knew logically that having diverse editorial boards was one way to visibly improve equity and inclusion at ACRL publications, but the demographic make-up of the editorial boards was not known. This was information that has never been solicited from board members and has not been systematically considered in their appointments."

The PCC developed a survey to collect data from ACRL's nine editorial boards and committees. With this foundational data now available, the PCC and the larger ACRL community have information for planning and acting to correct the current inequitable composition on the editorial boards. Diversity is a critical concern for representation as well as for different perspectives and ideas. Research on innovation and decision-making shows that more perspectives surface and problems are more successfully addressed in diverse groups than homogenous groups. This is, however, provided that the group's structure and operations support inclusion of the different perspectives. As NASA explains in the [NASA Diversity and Inclusion Strategic Implementation Plan \(2012\)](#):

"the best employees come from different backgrounds and hold divergent viewpoints and that workforce diversity, when fully utilized, leads to inclusion of more ideas and viewpoints, which in turn leads to more creativity and innovation. The bottom line is that NASA needs the best employees to design creative and innovative technical solutions. NASA must attract, fully utilize, and retain the best talent. This includes being viewed as an employer of choice for a diverse workforce." (4)

The report includes the NASA Diversity and Inclusion Framework, with six principles guiding implementation of the plan (6):

- Demonstrated Leadership Commitment
- Employee Engagement and Effective Communication
- Continuous Education, Awareness, and Skills Development
- Demonstrated Commitment to Community Partnerships
- Shared Accountability and Responsibility for Diversity and Inclusion
- Effective Measurement of Diversity and Inclusion Efforts

NASA's report demonstrates the interrelated concerns for politics, stakeholders, and governance as it concerns organizational operations. Developing or utilizing advisory boards or committees requires time and consideration to address the local or specific situation and the full spectrum of stakeholders and their concerns, coupled with methods for ensuring responsibility, authority, and accountability.

Activity: Real Life Governance Example

The Baldwin Library of Children's Literature Scholar's Council

Read the [governance proposal](#) and do/answer the following:

- Discuss and identify the levels of authority, responsibility, and accountability for each of the stakeholders.
- Discuss how governance addresses, supports, and/or provides checks for these for the different stakeholder groups.
- How does effective governance improve the likelihood of achieving sustainable operations?
- What arguments would be successful with the different stakeholders?

Conclusion

As a dynamic and innovative area, library publishing presents opportunities for reconceptualizing library work, for creating new positions in libraries, and for designing new ways to connect partners and collaborators. Working with partners from other organizations and professional backgrounds to build a new program introduces both value and challenges. The type and configuration of staffing used—employees, contractors, interns, volunteers, and advisors—should reflect considerations for the overall program goals for the library publishing activities.

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Unit 4: Preservation

What You Will Learn

- How to define long-term term digital preservation
- How to identify challenges of long-term digital preservation
- How to understand digital preservation as a socio-technical system
- How to identify the difference between back-ups and preservation
- How to evaluate digital preservation plans
- How to identify file formats that support sustainability
- How to understand the extent of institutional commitment necessary for digital preservation
- How to understand implications of scale and capacity and apply concept of one-of-kind and first-of-kind projects
- How to identify the pros and cons of in-house and external options for digital preservation
- How to identify a selection of current tools and technologies for digital preservation for publishing

What is Long-Term Digital Preservation?

Sustainability and digital preservation are **socio-technical**, in that they include concerns related to people, policies, communities, technologies, and financials. Digital preservation or digital stewardship involves the active management of digital content to ensure access over time. Digital preservation is difficult because it cannot be reduced to a technical problem with a technical solution. Technical components that support digital preservation include backups with redundant copies and utilization of sustainable file formats; the systems require policies, procedures, staffing, and funding for successful operation.

Backups are additional copies of materials. Examples of backups include saving a document that you are working on to your laptop and to the cloud or emailing a copy to yourself to ensure that you have the document even if your laptop fails.

Redundancy adds a level of complexity to backups. Redundancy, in the context of digital preservation, means a system designed to ensure that if one backup copy fails, there is another (or many other) backup copies that are available and monitored. Redundancy is often misunderstood as needless duplication. Well-designed systems are redundant to ensure they operate even when there are problems. For systems, this relates to fault or attack tolerance. The human body offers an example of redundancy with two kidneys. While people survive with only one kidney, having two kidneys is not misunderstood as being wasteful. IT professionals design and manage data centers and servers to ensure that any failure is noticed, systems immediately utilize the redundant systems running in parallel, and that the faults are then corrected to ensure continuity of operations with operational redundant systems. Redundancy requires daily activities and regularly scheduled activities for system support, with some activities and technologies planned for shorter and longer terms. Redundant systems often also provide confirmed support for normal failures and outages.

As defined by the National Digital Information Infrastructure and Preservation Program (NDIIPP), “digital preservation is the active management of digital content over time to ensure ongoing access.” Digital preservation utilizes backups with redundant systems, and it requires institutional engagement and commitment for the long-term, including technologies, processes, staffing models, and communities.

For digital preservation, digital library communities of practice follow other library communities in providing frameworks and elements to support preservation. Library publishing activities are well-positioned within the socio-technical environments of digital libraries for engagement and contributions for digital preservation.

Technical Foundations for Preservation

Digital libraries approach digital preservation as a process within the ongoing lifecycle of information and artifacts and not as an endpoint. With the focus on long-term preservation, the system-level supports for preservation are part of the technical equation that complement the use of sustainable file formats. As with standards for acid-free paper (compared to paper that decays) and polyester microfilm (as opposed to acetate which decays), digital preservation relies in part on sustainable file formats to ensure that materials can be preserved for ongoing future access. When determining appropriate file formats for preservation and presentation, the Library of Congress identifies seven sustainability factors:

1. [Disclosure](#). Degree to which complete specifications and tools for validating technical integrity exist and are accessible to those creating and sustaining digital content. A spectrum of disclosure levels can be observed for digital formats. What is most significant is not approval by a recognized standards body, but the existence of complete documentation.
2. [Adoption](#). Degree to which the format is already used by the primary creators, disseminators, or users of information resources. This includes use as a master format, for delivery to end users, and as a means of interchange between systems.
3. [Transparency](#). Degree to which the digital representation is open to direct analysis with basic tools, such as human readability using a text-only editor.
4. [Self-documentation](#). Self-documenting digital objects contain basic descriptive, technical, and other administrative metadata.
5. [External Dependencies](#). Degree to which a particular format depends on particular hardware, operating system, or software for rendering or use and the predicted complexity of dealing with those dependencies in future technical environments.
6. [Impact of Patents](#). Degree to which the ability of archival institutions to sustain content in a format will be inhibited by patents.
7. [Technical Protection Mechanisms](#). Implementation of mechanisms such as encryption that prevent the preservation of content by a trusted repository.

Digital libraries are increasingly addressing these factors and are developing lists of known sustainable file formats for their institutions, along with the necessary complements of the system designs and preservation/migration plans to ensure the materials can be supported into the future. For libraries new to digital preservation, the [Library of Congress Formats Descriptions](#) and [Federal Agencies Digital Guidelines Initiative](#) are ready resources for planning.

In addition to sustainable file formats, several other aspects of digital preservation that library publishers need to attend to include preservation metadata, security and validation, fixity checking, and redundancy in heterogeneous systems and in multiple geographical locations. Library publishing takes place within libraries and alongside digital libraries, which sometimes provide preservation services and expertise for digital content and may have capacity to support preservation for library publishing. Unfortunately, not all libraries have digital preservation expertise and infrastructure; evaluating external

options and collaborative opportunities will be advantageous to library publishing programs that develop in libraries that do not yet have strong digital preservation programs.

Importantly, digital preservation cannot be done alone; digital preservation requires community support to address needs related to redundancy and sustainability. This is true for file format determination, systems, technologies, and communities. Community leadership, communication for adherence to always evolving best practices, and support for activities are necessary for digital preservation. For library publishing, core communities include the [National Digital Stewardship Alliance](#), hosted by the [Digital Library Federation](#) (DLF), the [Digital Preservation Coalition](#), and the [Educopia Institute](#).

Preservation is a Socio-Technical Commitment

To successfully undertake digital preservation activities, institutions require other institutions for collaboration and shared activities and practices for a variety of reasons. In addition to external community engagement for technical aspects (as with file formats and technology use and planning), ongoing community engagement is also needed at the institutional level to ensure its ongoing support. The institutional commitment for digital preservation includes staffing, technologies, and services, as well as stakeholder buy-in for the resources, authority, and responsibility to develop and adhere to digital preservation plans for the long term. Sustainability at the institutional level is informed by and supports societal needs. As explained in the *Final Report of the Blue Ribbon Task Force on Sustainable Digital Preservation and Access*:

“sustainable digital preservation requires a compelling value proposition, incentives to act, and well-defined roles and responsibilities. Digital preservation is a challenge for all of society because we all benefit from reliable, authentic information now and into the future. Done well, all of society will reap the benefits of digital stewardship.” (5)

The institutional commitment and methods with roles and responsibilities are shaped by the value proposition for the work, along with other critical factors. For example, because digital preservation is a much larger commitment than simple technical offerings with backups and redundancy, the scale of the work for digital preservation is an important consideration. Clay Shirkey explains:

“Scale is a mysterious phenomenon—processes that work fine at one scale can fail at 10 times that size, and processes that successfully handle a 10-times scale can fail at 100 times. [...] Institutions offering tools and systems for digital preservation should be careful to explain the scale(s) at which their systems have been tested, and institutions implementing such systems should ideally test them at scales far above their intended daily operation [...] to have a sense of when scaling issues are likely to appear.” (26)

More simply stated, “Scale changes everything” (Owens 28). For digital preservation, the scale of the work is measured by the quantity of materials with an infinite timeline for digital preservation processing. Because of the ongoing timeline, the scale of the work continues to grow beyond the simple quantity of materials. The extended timeframe for digital preservation work must be able to adapt to technological changes. Digital libraries thus perform ongoing and ever-changing work in order to support digital preservation. Because digital libraries must continually adapt to new technologies and conduct ongoing work to support digital preservation processes, digital libraries face challenges that require a community for support.

Library publishing may not immediately be as concerned with the same questions of scale that digital libraries regularly face, however, scale is always a factor. Because library publishing takes place in the library, it is often in close proximity to the library’s broader digital library activities. Depending upon the

sophistication of the digital library infrastructure and expertise, some library publishing programs can take advantage of scale-ready systems for both access and digital preservation. In such cases, library publishing benefits from the opportunity to be included with other library collections that are being provided and preserved.

One of the more immediately visible aspects of scale arises in access systems in terms of **nonfunctional requirements**. **Functional requirements** are related to technical functionality in terms of whether a system does or does not provide a particular function. Nonfunctional requirements cover criteria for system behaviors; for instance, providing a measure for successful response time for a system. For example, what if a library publishing system supported a preferred file type of PDF/A, supported metadata for all published items in a standard form, supported interoperability with the digital preservation systems for auditing and other concerns, and yet searching for the publications would result in a wait time for users of one minute or longer? Balancing the system's capabilities, speed, and longevity is crucial, and addressing both nonfunctional and functional requirements is a priority for many digital library operations.

Other considerations for scale include for **capacity development** and **scaling for operations**. Jennifer Vinopal and Monica McCormick review digital scholarship support in libraries in 2013 within a discussion of how to develop capacity. They explain best practices for developing “first-of-kind” projects that require custom supports, where the supports for that project are useful for many projects and, thus, are part of building the appropriate infrastructure. This is opposed to “one-of-a-kind” projects, which only support a specific project and do not contribute to shared supporting infrastructure. This directly relates to institutional commitment and stakeholder buy-in because some systems and projects seem attractive for a specific project yet may not scale. Within the long-term perspective necessary for digital preservation, the institutional commitment must include engagement at all levels to ensure support for digital preservation for all published objects, and in some cases, this may impact decisions around what gets published and in what system or framework that publication is delivered.

The institutional commitment must also include a commitment to community engagement. Digital preservation is always undertaken in relation to its present and/or future communities of use, each of which is deemed a “**designated community**.” Understanding the designated community of users is necessary to determine value, changes, and needs over the long-term. The designated community provides a situated perspective for the core user community for questions of both how and why to preserve materials. In *Race, Rhetoric, and Technology: Searching for Higher Ground*, Adam J. Banks presents a taxonomy of access: material, functional, meaningful, critical, experiential, and transformative. Digital access is often seen as equivalent to materials being online. However, this obscures concerns about whether people have material access to the internet and functional access to be able to find and use the materials (e.g., Can the designated community find the materials? Can they use the file formats and system as presented?). Transformative access involves “genuine inclusion in technologies and the networks of power that help determine what they become, but never merely for the sake of inclusion.” If library publishing activities are to continue to reach designated audiences into the future, then library publishing must engage with the designated community to ensure these concerns are addressed.

For example, *sx: archipelagos* is the premiere journal of digital scholarship and Caribbean Studies. It launched in 2016. The scholars who created the journal possess a wealth of technical expertise. In developing the journal, they intentionally chose to utilize principles for minimal computing to reduce costs and ensure access. The journal adopted Markdown for the document format to address ease-of-use for authors and journal publishers, as well as to ensure that the site would operate optimally and degrade gracefully even if the access was on a handheld device with very limited connectivity. For a

journal focused on Caribbean Studies, it is ideal to be able to support material access across the world, including in the Caribbean where connectivity is often more limited than in the US, and the choices made by the journal's founders relate directly to sustainability and preservation, as discussed next.

Socio-Technical Considerations for Preservation

sx: archipelagos provides an excellent example for considerations for tools and technologies that support digital preservation within the publishing services framework. *sx: archipelagos* selected minimal computing standards including Markdown and a GitHub repository for all versions of files, with attendant institutional supports to ensure digital preservation. Thus, the full infrastructure was designed with the designated community of users and the institutional users to ensure a publishing system that supported digital preservation as part of the work to address user access needs.

Usually, library publishing choices for the publishing services framework do not require a completely new system, as *sx: archipelagos* did. In following best practices, new and even “first-of-kind” publications often utilize existing digital library systems, which may include digital preservation support. This adherence to best practices includes integration into existing systems, leveraging resources, connecting the community of practice locally and externally, and building out the infrastructure. With this approach, example tools for library publishing include the many systems in use for digital libraries: Aubrey (University of North Texas), DSpace, Fedora-based (e.g., Samvera-rebranding from Hydra), Greenstone, Omeka, SobekCM, and many others, including commercial software. Further, many digital libraries also offer support for publishing systems as part of publishing services, including Open Journal Systems (OJS) and Open Monograph Press. Many university and scholarly publishers have software development projects underway in 2018, including University of Michigan’s “Fulcrum” platform and Wayne State University’s Vega platform.

Preservation concerns should be accounted for by library publishers as they select systems for use in publishing. Depending on the institutional organization and resources, either in-house or external options for digital preservation may be best. In-house options may require a substantive initial investment in existing resources and infrastructure, and a moderate level of ongoing care and maintenance. External digital preservation options often appear to require a minimal initial investment and demand minimal initial resources, but ongoing costs for integration of workflows and services as well as the overhead for multiple systems can be much higher and less controllable over time. The most expensive part of digital preservation is the selection and preparation of content for preservation; this cost is unavoidable for institutions, whether they use in house or external options. For both internal and external support, the **total cost of ownership** depends on the arrangement of systems, people involved in their use, and both the technologies to connect and make the systems interoperable as well as the attendant workflows for utilizing the systems and monitoring, integrating, and auditing systems.

Publishing Services Framework and Digital Preservation

Library publishers seeking best practices for digital preservation may turn to a range of resources, including the Digital Preservation Coalition’s [“Digital Preservation Handbook”](#) and the National Digital Stewardship Association’s wide range of reports and community-driven activities. Current best practices include utilizing sustainable file formats, selecting platforms and establishing workflows that include digital preservation, calculating the total cost of ownership for publications, and engaging with designated communities to direct choices and processes for long-term needs. As the *Final Report of the Blue Ribbon Task Force on Sustainable Digital Preservation and Access* describes:

“Sustainable preservation strategies are not built all at once, nor are they static. Sustainable preservation is a series of timely actions taken to anticipate the dynamic nature of digital information. Decision makers will always face uncertainties. Changes in technologies, policy environments, investment priorities, and societal concerns will unfold over the course of the digital lifecycle. But we can develop practices that resolve or anticipate uncertainties, that leverage resources among stakeholders, and above all, that leave options open for decision makers in the future. Sustainable preservation strategies will find ways to turn the uncertainties of time and resources into opportunities for flexibility, adjustments in response to changing priorities, and redirection of resources where they are most needed. Commitments made today are not commitments for all time. But actions must be taken today to ensure flexibility in the future.” (5)

Best practices for digital preservation, thus, include ongoing engagement with professional communities, designated communities, and stakeholders to ensure that new challenges and demands can continue to be addressed as they arise. Embracing the ongoing work of digital preservation will help library publishing to produce works that are preserved and to do so in a sustainable manner that allows library publishing programs and their impact to grow.

Activity: Creating a Preservation Plan

Read the Preservation Plan for the ARL PD Bank found in the Appendix B before attempting this activity.

Scenario: You have just been hired to develop a library publishing program in an academic library at a large research university. The library administration has charged you with piloting the publication of one or more *first-of-kind works* to test and solidify the program. They have emphasized the importance of publishing digital works that can be preserved over the long term.

Consider the following:

- What file format(s) will you select? Which will you avoid?
- What metadata formats will you employ?
- Where/how will the materials be accessed?
- Where/how will the material be preserved?
 - Will this be in-house, external, or both?
 - What system(s) will you use?
 - What communities will you draw upon and collaborate with for ongoing preservation?
 - Who in your institution will be contact people for the ongoing lifecycle needs for digital preservation?

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Appendix A

Job Postings Examples

Assistant/Associate Librarian - Digital Publishing Project Librarian (Open Rank)

Description:

This is a tenure-track, 12-month position responsible for leading the development of projects connected with the TTU Press's digital publishing initiative. The American Association of University Professors (AAUP) report on Library-Press collaborations stated that library-publishing services are on the rise, and universities need guidance on where their press and library missions overlap. This position will have the opportunity to enact collaboration between library and the press's expertise in traditional publishing by developing digital content and develop a sustainable model for managing cost of production.

This position will spend the first two years working with Texas Tech faculty authors to publish electronic books in Open Monograph Press with the support of the University Press. The position will be creating workflows, policies, and helping authors with technical issues related to publishing eBooks and non-traditional multimedia eBooks and developing sustainable models for library publishing.

As faculty, this position is expected to publish in peer-reviewed journals. They are also expected to provide service to the profession by serving on teams/taskforces/work groups as well as serve on college and university committees in addition to their job duties.

This position reports to the Digital Resources Unit Head in the University Library but collaborates closely with the TTU University Press.

We are looking for a candidate who is excited about the emerging field of library publishing and able to handle the rigor of tenure with mentorship.

Responsibilities:

- Provides technical support to authors creating eBook, eTextbooks, and other non-traditional books or other content for publication.
- Provides support to authors publishing digitally by managing a digital publishing platform.
- Provides consultation, training, and support to the campus community on issues related to digital publishing and creating digital educational resources.
- Maintains excellent written and oral communication with library and university press staff. Disseminates information that is clear to all levels of library and university press staff in the form of emails updates, attendance at staff meetings, and other appropriate means.
- Works closely with the unit lead, appropriate teams and departments to establish and refine associated workflows for digital publishing.
- Provides leadership and coordination in the development of a digital publishing initiative between the university library and the university press.
- Works collaboratively with the TTU Press on digital publishing projects.
- Seeks out authors for possible digital publications and helps to select projects.

- Keeps abreast of trends and best practices in digital publishing and monetized digital formats.
- Serves on library committees and cross-functional teams as assigned.
- Seeks out related grant opportunities to fund digital publishing efforts.
- Writes reports and prepares documentation as needed.

Qualifications

Required:

- Master's degree in library science or information science from an American Library Association-accredited institution

Preferred:

- Strong project management skills and experience
- Knowledge of current and future scholarly publishing models, especially library–press collaborations
- Experience developing and publishing digital content
- Some knowledge of traditional publishing
- Broad knowledge of digital publishing platforms
- Experience with presenting or manipulating multimedia (audio, video, interactive webpages)
- Experience with a content management system, digital asset management system, or Open Monograph Press

Salary and Benefits

The position is a 12-month appointment with a nationally competitive salary. Librarians and archivists have faculty status and are an integral part of the academic teaching and research mission of the University. Comprehensive benefits include choice of retirement programs, including TIAA-CREF; 12-17 state holidays; developmental leave opportunities; moving allowance; and no state or local income tax.

General Information

[Texas Tech University](#) is a state-supported institution with an enrollment of around 35,000. It offers a wide range of academic programs in colleges and schools, including graduate, law, and medicine. Texas Tech is a member of the Association of Research Libraries, Greater Western Library Alliance and Texshare. [The University Library](#) has over 2.4 million volumes. Lubbock has a metropolitan population of over 250,000 and is the regional center for education, agriculture, health care, banking, and business.

Application Information

To apply for this position, please visit the [Texas Tech University Personnel site](#). Select Faculty and search for 10590BR. Please fill out the electronic application and attach a cover letter indicating qualifications and interest in the position, current vita, and names and contact information of three references. Review of applications will continue until position is filled.

Texas Tech is an Affirmative Action/Equal Opportunity Employer. We strongly encourage applications from women, minorities, persons with disabilities, and veterans, and we consider the needs of dual career couples. We actively encourage applications from all those who can contribute, through their

research, teaching, and/or service, to the diversity and excellence of the academic community at Texas Tech University.

Publications & Support Specialist

PKP is currently seeking a talented, full-time Publications and Support Specialist to assist with our PKP's Publishing Services, to provide support on the PKP Community Forum, and to assist with our other projects. This is a people-oriented service position, and the successful candidate will be an outgoing individual who enjoys working with others and helping them use OJS and other PKP software.

Experience with PKP software would be an asset. A strong willingness to learn is essential.

As a member of the PKP team, you will be able to work where you want, anywhere in the world. Apart from some regularly scheduled team meetings and client service hours, PKP's work environment is very flexible. You will have opportunities to travel, participate in conferences and workshops, and interact with a growing international community of users in the academic, software development, and publishing worlds.

Duties

- Provide technical and general user support to PKP|PS clients and the PKP user community on the PKP software suite including Open Journal Systems (OJS) 2.x & 3.x, Open Conference Systems (OCS) 2.x & 3.x, Open Monograph Press (OMP) 1.x, Open Harvester Systems (OHS) 2.x, and other PKP software
- Monitor the PKP Community Forum and reply directly to user queries and issues, or refer them to other PKP team members
- Work in concert with other PKP|PS team members to troubleshoot and provide ongoing operational support. Create, update, refer, and close issues using a combination of trouble ticket and customer relation management software
- Maintain a record of common, recurring user-reported problems for enhancing user documentation, developing training materials, or improving software interfaces
- Identify potential partnerships or volunteers from the community
- Provide online and in-person workshops and other training activities on the use of PKP software
- Work closely with current and prospective PKP|PS clients to determine their requirements including provision of appropriate hosting options, and assist in the preparation of statements of work and cost estimates
- Assist in the overall operation and coordination of the PKP Community Forum
- Assist in the operation of PKP|PS hosting and custom support services including provisioning of appropriate technical infrastructure
- Prepare operational reports, statistical reports, briefs, position papers and grant proposals as required
- Promote the PKP and PKP|PS through active participation in external meetings, conferences, workshops, and other venues
- Serve on PKP committees and working groups as required

- Perform other related duties as assigned.

Qualifications

- Post-secondary degree, diploma, certificate, or equivalent
- Relevant experience in client support, preferably in the academic and/or scholarly publishing sectors
- Experience with technical evaluation, implementation and troubleshooting (including bug testing, basic familiarity with web standards like HTML, CSS, basic familiarity with tools such as FTP/SSH) is also an asset
- Familiarity with publishing workflows, software, and platforms, preferably with OJS, OMP, and/or OCS
- Ability to quickly learn new software interfaces and experiment with emerging technologies
- Commitment to high quality community and customer service and a strong interest in helping others solve their technical issues
- Demonstrated ability to initiate, maintain, and develop strong professional relationships with a diverse, multicultural, global community of stakeholders in both face to face and distance environments
- Demonstrated ability to maintain effective working relationships across multiple and diverse institutions, across levels within organizations from specialist to executive level
- Experience with a software development project and/or a project undertaken in a primarily remote environment
- Demonstrated ability to adapt to changing environments and multiple deadlines, and to work well under pressure with discretion, tact, and good judgement
- Excellent communication skills, both oral and written
- High level of initiative
- Demonstrated ability to recognize and anticipate what needs to be done

Interested applicants should send a cover letter containing a summary of their experience, with at least two references, and a copy of their resume to Brian Owen, Associate Dean of Libraries and PKP Managing Director (brian_owen@sfu.ca). Posting will remain open until filled.

Background Information

The Public Knowledge Project (PKP) is a research and development initiative based at Simon Fraser University with many development partners and supporters around the world. PKP has been developing free, open source software for the management, publishing, and indexing of journals, books, and conferences for over 15 years. The PKP software suite is comprised of four modules: Open Journal Systems, Open Monograph Press, Open Conference Systems, and Open Harvester Systems; as well as a variety of supporting software projects. Visit PKP [here](#) and have a look at the software and other services.

Assistant Director for Scholarly Communication & Projects

Description

The Columbia University Libraries seek an Assistant Director for its newly formed Digital Scholarship division to help lead a team that is coordinating library-facilitated digital scholarship projects. This position also connects the library's efforts to emergent themes and approaches around scholarly communication. Reporting to the Director of Digital Scholarship, the Assistant Director develops and promotes programs, services, and relationships that advance the ability of Columbia scholars to communicate knowledge in impactful ways to essential audiences online. With oversight of key library staff, this position supports work in the digital humanities, in scholarly publishing, and in digital repository services. Further, the Assistant Director will be instrumental in designing digital scholarly projects and faculty partnerships within the libraries. This position also coordinates scholarly communication outreach activities on campus and participates in national forums and organizations.

Position Duties

- Oversees the evaluation, development, and ongoing maintenance of digital scholarship projects with faculty and students across disciplines and platforms, including Columbia's open access repository, online journal publishing services, and the development of innovative applications that convey the research of Columbia University's scholars online.
- Coordinates the development and promotion of the library's scholarly communication initiatives and outreach activities focused on access to and impact of Columbia-based research and scholarship.
- As a member of the Digital Scholarship leadership team, represents the library's efforts in as an active participant in national forums and relevant working groups.

As one of the world's leading research universities, Columbia University in the City of New York provides outstanding opportunities to work and grow in a dynamic, multicultural, intellectual community. The Columbia University Libraries are comprised of a diverse and engaged staff committed to furthering the University's teaching and research mission through innovation, collaboration, and a commitment to excellence.

Columbia University is an Equal Opportunity/Affirmative Action Employer and strongly encourages individuals of all backgrounds and cultures to consider this position. We offer a salary commensurate with qualifications and experience.

Minimum degree required: MLS or PhD or equivalent

Minimum qualifications

- Commitment to supporting and working in a multicultural and diverse environment
- Experience in developing and/or leading research initiatives or projects
- Understanding of current issues, trends, and new and emerging technologies used to support scholarly communication and digital scholarship in research libraries
- Track record of engagement in scholarly communication and digital scholarship trends and initiatives in research institutions
- Knowledge of academic research and publishing processes
- Exceptional communication and organizational skills

Proposed start date: October 1, 2017

Position Vacancy Announcement

POSITION: LibraryPress@UF Coordinator - Library Coordinator 2

REPORTS TO: Digital Scholarship Librarian

SALARY: \$48,500 annually. Actual salary will reflect selected professional's experience and credentials.

JOB NO: 502955

DEADLINE DATE: August 15, 2017, applications will be reviewed as received

Job Summary

In 2016, the Libraries and the University of Florida Press began a new collaboration on the LibraryPress@UF, an imprint of the University of Florida Press. The LibraryPress@UF Coordinator (Coordinator) is a new position that operates within the George A. Smathers Libraries to ensure coordinated and consistent activities for the LibraryPress@UF. The Coordinator will collaboratively build and start-up the LibraryPress@UF as a new program, creating, developing, and directing the strategic planning process.

The Coordinator supports production and development needs for all LibraryPress@UF imprint works (e.g., new publications, republications, expanded editions, digital works, etc.) for design, layout, creation, coordination on metadata (e.g., library records, CIP, and publisher information), developing and maintaining design files and processes, and overall production needs. The LibraryPress@UF focuses on works that are born digital, with print-on-demand options integrated with sole source production, and with digital files hosted as Open Access through the Libraries. The Coordinator provides support to academic faculty collaborating with the Libraries on publishing efforts, and provides support for scholars regarding enhanced monographs in collaboration with the UF Press. Attends relevant conferences (e.g., Association of American University Presses, Library Publishing Forum) for sharing of UF activities and development of best practices.

The Coordinator plays a critical role for enhancing and expanding the existing relationship and activities by serving as a core contact with the UF Press, including for new opportunities in regards to online journals; enhanced monographs; shared events; and collaborative grants including the Open Book Program grant to re-enliven out of print books.

Responsibilities

Production for the LibraryPress@UF and UF Press Enhanced Monographs

- Collaborates and coordinates production and promotion for LibraryPress@UF publications and UF Press Enhanced Monographs
- Collaborates and coordinates for the development of new activities and services, and consistency of ongoing operations
- Collaborates with librarians and authors on production of LibraryPress@UF publications
- Collaborates with the UF Press, scholars, liaison librarians, and Digital Production Services for developing enhanced monographs with the UF Press that simultaneously support collection development in the Libraries

- Collaborates with Digital Production Services to ensure support for ongoing publishing programs and initiatives, including textbooks for Orange Grove Texts Plus
- Collaborates on publications with the LibraryPress@UF that promote and further the goals for library collections
- Liaises with author/creators on rights and permissions needed for new works
- Liaises with Digital Production Services for new publication needs including ePUB and other formats, supporting the development and planning transition to ongoing operations as appropriate new technologies and processes are identified
- Supports potential new authors in completing the Publication Information Sheet, describing the content and the format of the work to be published; coordinates reports and materials for review by the Editor-in- Chief and Directors of the LibraryPress@UF

Assessment and Reporting

- Collaborates and coordinates a rigorous program of tracking and assessment for production and program activities, working with the Libraries and UF Press for ongoing development of the LibraryPress@UF
- Collaborates to develop integrated workflows, promotion plans, and measures and methods for tracking and assessment of all activities
- Creates and maintains documentation on all author/creator agreements, production status of new publications, and workflow documentation for future optimization and integration
- Collaboratively develops reports and supports activities in relation journals with OJS as used by the Libraries and for future opportunities in collaboration with the UF Press
- Stays current in best practices for digital scholarly publishing and is familiar with a wide variety of academic projects and programs across the nation and world

Promotion, Digital Scholarship & Publishing Training

- Collaborates with the Director of Marketing to coordinate development of marketing plans for new publications and for the LibraryPress@UF overall, and for undertaking the activities in the marketing plans including the use of web and social media
- Collaborates with social media managers in the Libraries and Press for promotion
- Maintains compliance with UF social media policies, and Libraries and UF web standards, policies and practices
- Plans, recruits trainers, and provides training within the Libraries and across UF as appropriate, and provisions trainings with attendant resources for the library publishing, publishing, and digital scholarship
- Provides and coordinates support for non-credit and for-credit trainings and internships in publishing and digital scholarship
- Coordinates and supports planning and implementing events and activities in support of digital scholarly publishing at UF, including events and activities that enrich the community of practice for reviewers, editors, and collaborators across UF, the Libraries, and the UF Press

Other Duties as Assigned

- Serves on various committees and task forces at the Library and University level
- Participates in sessions at state and national conferences
- Participates in other departmental activities and special projects as assigned
- Participates in staff development opportunities as needed
- Performs other duties as needed

Qualifications

Required

Bachelor's degree in an appropriate area of specialization and four years of related library experience; or a master's degree in Library or Information Science or some other directly relevant area.

Preferred

- Ability to work both independently and collaboratively as part of a team within a culturally diverse user community of faculty, students, administrators and the general public
- Three years of academic or research library, or publishing, experience
- Master's degree in a relevant field or professional certificate
- Knowledge of publishing technologies, particularly digital publication and digital tools for print publication, and print on demand
- Excellent visioning, planning, analytical and organizational skills
- Strong analytical skills and experience in planning and setting priorities
- Initiative, flexibility and the ability to adapt and work creatively in a complex, rapidly changing academic environment
- Familiarity with academic publishing research trends
- Record of including individuals of diverse backgrounds, experiences, races, ethnicities, genders, and perspectives in research, teaching, service and other work
- Articulate and persuasive written and oral communication skills
- Experience with text encoding and markup (e.g., Adobe InDesign and InCopy, XHTML, CSS, markdown, ePub)
- Experience in project management and project portfolio management for simultaneously managing multiple projects

The University of Florida

The University of Florida (UF) is a major, public, comprehensive, land-grant, research university. The state's oldest and most comprehensive university, UF is among the nation's most academically diverse public universities. UF was ranked 9th among public universities in Forbes' "America's Best Employers 2015." UF has a long history of established programs in international education, research and service. It is one of only 17 public, land-grant universities that belong to the Association of American Universities. UF traces its beginnings to a small seminary in 1853 and is now one of the largest universities in the nation, with more than 50,000 students. For more information, please consult the [UF homepage](#).

George A. Smathers Libraries

The libraries of the University of Florida form the largest information resource system in the state of Florida. The UF Libraries consist of seven libraries; six are in the system known as the [George A. Smathers Libraries](#) at the University of Florida. The libraries hold over 5,800,000 print volumes, 8,100,000 microfilms, 630,000 e-books, 121,016 full-text electronic journals, 889 electronic databases, 1,300,000 documents and 766,000 maps and images. The libraries have built a number of nationally significant research collections, including the Latin American, Judaica, Florida History, Children's Literature, and Maps and Imagery Collections. The Smathers Libraries are a member of the Association of Research Libraries (ARL), the Center for Research Libraries (CRL), the Association of Southeastern Research Libraries (ASERL), and LYRASIS. The library staff consists of more than 400 FTE librarians, technical/clerical staff and student assistants. The organizational chart is available [here](#).

Community

Gainesville, Florida and the surrounding community are home to approximately 257,000 people and both the University of Florida and Santa Fe College. Situated just over an hour from the Gulf of Mexico and the Atlantic Ocean, the city is surrounded by over 40 nature parks, including many spring-fed lakes and rivers. In 2015, Gainesville was named the "Best Midsize College City in America" by WalletHub and ranked no. 7 on Livability.com's "Top 10 College Towns". Gainesville is known as an innovative municipal government and an innovative city. Gainesville continues to receive national recognition as a top-rated city. Some of Gainesville's accolades are listed at the [Gainesville Awards and Recognition link](#). The *Guide to Greater Gainesville* combines award winning photography and compelling articles that capture all of the reasons for calling Greater Gainesville your next home. The area has numerous cultural institutions and is a haven for sports fans. Jacksonville, Orlando, Tampa, Tallahassee, and St. Augustine are all within a two-hour drive.

Benefits

Vacation days, paid holidays, and sick leave days; retirement plan options; insurance benefits; tuition fee waiver program; no state or local income tax. Prospective employees should review the information about employment and benefits at UF available [here](#).

Application Process

To apply, submit 1) a cover letter detailing your interest in and qualifications for this position; 2) a written statement on your vision for a 21st century scholarly publishing program (250 words); 3) your current resume or CV; and 4) a list of three references including their contact information (address, telephone number, and email). Apply by August 15, 2017 (applications will be reviewed as received). Submit all application materials through the Jobs at UF online application system [here](#). If you have questions about the application process please contact Bonnie Smith, George A. Smathers Libraries Human Resources Office, at bonniesmith@ufl.edu.

Affirmative Action/EEO

The University of Florida is an Affirmative Action, Equal Opportunity Employer and encourages applications from women and minority group members. We are dedicated to the goal of building a culturally diverse and pluralistic environment; we strongly encourage applications from women, members of underrepresented groups, individuals with disabilities, and veterans. As part of the application process, applicants are invited to complete an on-line confidential and voluntary demographic self-disclosure form which can be found [here](#). This information is collected by the University of Florida's Office of Human Resources to track applicant trends and is in no way considered by the Smathers Libraries in the selection process.

Appendix B

Preservation Plan for the ARL PD Bank

ARL PD Bank Background

In March 2012, the ARL (Association of Academic and Research Libraries) Board of Directors authorized establishment of the ARL PD Bank. ARL contributed a significant portion of the programming cost for the system, which was developed by a team at the University of Florida with broad input from other institutions, including over 20 ARL member institutions, via surveys, focus groups, and beta testing. In February 2013, the ARL PD Bank was officially launched and initially only available to ARL members. In order to sustain the community, maximize the collection use, and create an even more comprehensive collection, access was expanded. Beginning in 2014, library consortia that include at least one ARL member institution were permitted join the ARL PD Bank as a group and obtain access for their non-ARL members. The first consortium to join was the Association of Southeastern Research Libraries (ASERL). The Canadian Association of Research Libraries (CARL) followed suit in 2015.

The ARL PD Bank was designed as a digital collection of position descriptions and related documents, such as annual assignments and position vacancy announcements, which describe the work of library employees, interns and other affiliates. The ARL PD Bank is a web application featuring secure, restricted, credential-based access, remote backup and encryption of data and documents with a simple, intuitive interface. The ARL PD Bank fosters the sharing of information through a browsable and searchable digital archive.

The 2013 *Searching for Sustainability Strategies from Eight Digitized Special Collections* report emphasized the importance of engagement with the user community for sustainability and longevity “the ability to attract devoted users and other stakeholders and the ability to attract resources that will permit the resource to grow over time.” A key element in the development and subsequent adoption of the PD Bank has been a focus on the designated community of users. The users of this system include library administrative staff: those involved in personnel management and those who rely on the documents for managerial activities and planning. Fundamentally, the system supports the management of PDs for individual institutions, providing an effective organizational method and system that supports findability as well as archiving. This functionality was designed to encourage use, which maintains the currency of the collection. As a collective work of academic and research libraries in the United States and Canada, the ARL PD Bank provides not only an aggregated source for current PDs, which shows the varied ways in which institutions organize and define functions but also archived documents, which depict the evolution of positions and library functions and services over time. This model conforms to the model of a centralized technological solution, in the form of a repository, described by Dečman and Vintar.

In comprehensive terms, the designated community users includes personnel from ARL, ASERL, and CARL institutions and the ARL staff and designees. As of January 28, 2017, there were 346 registered users from 124 institutions.

ARL PD Bank Content

As of January 28, 2017, the ARL PD Bank contained 1,711 position records, including: 694 for professional librarians, 142 for other professionals, and 873 for exempt and nonexempt support and paraprofessionals.

As a shared community platform, the system relies on descriptive metadata for the position records which is submitted and maintained by each institution. Position records are searchable and accessible by the following categories of metadata:

- Full-time equivalency (FTE);
- Position status (filled, open, or discontinued);
- Position type (professional librarian, support or paraprofessional, other professional, or other);
- Appointment type (regular, tenure accruing or permanent, temporary/time limited, or residency/fellowship/internship);
- Library type (medical library, law library, non-university library, or all other); and
- Functional areas.

Per Groenewald and Breytenbach, there is a critical need for equivalent attention to both for descriptive and preservation metadata for archived documents created in a digital form. When a record is created, this metadata is required for submission. The limited descriptive metadata described above is not onerous for users, but is adequate to ensure access. The system generated administrative metadata supports the tracking of origin and time of submission, and the maintaining of document properties. Given the nature of the system, rights management information is not applicable.

When uploading their PDs, institutions are asked to select the main functional area(s) for each position. This user activity not only provides useful search criteria but also important data on the frequency and, over time, the evolution of positions within academic libraries. Table 1 depicts all functional areas available in the ARL PD Bank and the number of records selected for each one, as of January 28, 2017.

Table 1	
Reference/Research	224
Subject Specialist	221
Branch/Unit/Department Management	162
Cataloging/Bibliographic Control/Metadata	162
Information Technology/Systems	150
Digital Services	133
Circulation	130
Instruction	128
Archiving/Curatorial/Rare Books	123
Liaison	117
Collection Development/Management	116
Access Services	111

Acquisitions	94
Electronic Resources	64
Senior Management	57
Outreach Services	45
Preservation/Conservation	44
Clerical/Administrative Support	43
Document Delivery	43
InterLibrary Loan	41
Media/Multi-Media Specialist	34
Facilities/Security	32
Finance/Budget/Accounting	32
Communications/Public Information	30
Human Resources/Organizational Development	27
Data Curation	26
Shared Collections	25
Scholarly Communication/Copyright	24
Development/Fundraising	23
Assessment	22
Exhibits	19
Staff Development/Training	17
Off-Site Storage	16
Distance Learning	15
Press/Publishing	15
Government Documents	14
Integrated Library System	13
GIS Systems/Data	12
Grants Management	5

Socio-Technical Infrastructure

Following the development of the ARL PD Bank system and its launch, the UF Libraries agreed to contribute, on an ongoing basis, the following to the support of the system:

- Routine user support,
- Maintenance of the system, and
- Storage of system content.

Routine user support includes, responding to user questions and the credentialing, on-boarding and training, and system setup for additional institutions and users. These services are provided by UF library faculty from the original project team as a component of their service to the field. Based on the average monthly effort for this purpose and the salaries and fringe benefits costs of these personnel, the incurred annual expense by the UF Libraries is approximately \$950. This commitment is ongoing for the foreseeable future.

Maintenance work, including operations and development of the ARL PD Bank is provided via a service agreement with UFIT Enterprise Infrastructure at a fixed rate of \$75/hour. These costs, when they occur, are funded by the UF Libraries. This contract is ongoing and includes nightly backups with offsite storage for both the hosted website as well as the database.

In addition, the UF Libraries fund the monthly cost of infrastructure totaling \$30/month for the ARL PD Bank. These services include both web server hosting and database hosting, for test and production instances of the system. Hosting infrastructure is also provisioned through UFIT Enterprise Infrastructure. This contract is ongoing, and any annual increases require justification and are capped at 4 percent per year.

The ARL PD Bank was implemented in a conceptual model of a “repository” or “archive”. Its success relied on the experiences of the UF team with longstanding digital collections. Unlike other collections termed digital archives, the system meets the traditional standards of digital preservation: supporting versioning, access, findability, and long-term preservation. The adoption of this system by institutions to maintain their operational documents represents a serious trust and reliance upon the availability of this content for the foreseeable future.

This is a trust that the University of Florida Libraries takes seriously. We are committed to long-term digital preservation of all digital scholarship works sponsored by the Libraries. This includes the UF Digital Collections, including the IR@UF, UF-supported collaborative projects as with the Digital Library of the Caribbean (dLOC), and innovative digital scholarship works like the ARL PD Bank.

Digital Preservation Perspectives

The ARL PD Bank is a mature and fully functional digital collection with a custom user interface that is well suited for the intended purpose. In some ways this system is quite comparable to an institutional repository (IR). As Robertson and Borchert note, there are a number of risks which can be used for assessing the preservation strength of repositories: format changes, disasters, viruses, repository software changes, etc. They also present what they consider to be best practices, including regular and remote backups, and using persistent identifiers. Fortunately, these risks and best practices are largely accounted for with the ARL PD Bank through the contracted supports and services described above. The one exception is file format.

Brown recommends minimizing the set of formats used when managing large collections of electronic records. In determining the file format for preservation and presentation purposes, the author recommends the following criteria: ubiquity, support, disclosure, documentation quality, stability, ease of identification and validation, intellectual property rights, metadata support, complexity, interoperability, viability, and re-usability. Based on a number of format characteristics (openness, non-binary, modifiability, format fidelity, and cross-platform interoperability) and assessments of format quality (including those based on robustness, metadata support and simplicity), Guercio and Capiello recommend the use of XML or PDF/A for text documents. Despite the concerns raised by some, including Moore and Evans, regarding its reliance on Adobe for continued development, the PDF/A

format seems to be generally agreed upon as the most stable format for preserving the appearance of a document. Additionally, DOCX, ODT, TXT, and RTF are considered sustainable.

Importantly for this system, as Robertson and Borchert acknowledge, an IR manager's desire is to reduce barriers and accept any format the user prefers and, further, self-submittal reduces control. This translates directly to the ARL PD Bank and is an important consideration in assessing the long-term preservation of content. While Barnes recommends repositories "choose widely-used, non-proprietary, platform-independent formats with freely available specifications where possible", they expand upon this by advising, "where possible, work with records creators to ensure that they use software programs that create records in formats that meet the criteria." In the case of the ARL PD Bank, the system's fundamental purpose is addressing the user's workplace documentation needs—this in turn drives use and aggregation of content. Accordingly, control over formatting is inappropriate here. Fortunately, and not surprisingly, the majority of document files are DOCX or PDF/A. Given the use case here, and the ubiquity and foreseeable support from these dominant business enterprise text document formats, tighter ingest controls and reformatting of submitted user document files were not incorporated into the system or workflows.

Risks and Mitigations

1. *Dependence on Key Personnel.* This system is dependent upon the ongoing expert support of the team that developed it. Worse, the team are all at one institution, and even if they remain in place, institutional support for this system may change.
 - i. *Mitigation:* Expand the responsibility for administration and support beyond UF.
2. *Dependence on Funding Source.* This system's annual cost are modest and reasonably scale to the UF Libraries expenditures and infrastructure for digital collections. The costs seem unlikely to increase significantly, barring major programming cost. Regardless the sole ongoing financial support for this system is the UF Libraries and the agreement to bear these costs is informal.
 - i. *Mitigation:* The financial cost of the system should be acknowledged and the UF Libraries' commitment should be formalized in a memorandum of agreement, with a minimum duration specified. ARL should commit to the financial cost of this system, in the event that the commitment from UF is not extended beyond this agreed to duration.
3. *Dependence on Support Vendor.* The UFIT Enterprise Infrastructure support is expert and they are knowledgeable about the system and curation activities. The cost is negotiated, at reasonable terms and seemingly unlikely to become radically more expensive. However, the contract is between the UF Libraries and another campus entity.
 - i. *Mitigation:* The UFIT Enterprise Infrastructure support agreement should be modified to include the Association of Research Libraries as co-owner of the system and a full party to the agreement.
4. *User Population System Knowledge.* The ARL PD Bank is intuitive, so training for use is not extensive. However, as an unmediated system for submitting metadata and documents, some expertise is required for effective use and the maintenance of the digital collection. Extensive training and user support materials are available [here](#), but there is no ongoing training.
 - i. *Mitigation:* The expanded support efforts proposed above should include periodic and on demand trainings.

5. *System Assessment.* The features offered and metadata fields used by the ARL PD Bank were thoroughly evaluated by a user group soon after the launch, but are not proactively assessed. Changes are uncommon and result from infrequent unsolicited user comments and questions.
 - i. *Mitigation:* The expanded support efforts proposed above should include periodic and systematic user engagement regarding system usability and the effectiveness of descriptive data.
6. *File Formats.* Despite the predominance of common, and reasonably adequate file formats, from a preservation standpoint, the system has no controls for limiting options to file formats which would be unsustainable. Additionally, no system exists now for monitoring file format obsolescence.
 - i. *Mitigation:* Sustainable file formations should be promoted to users. Administrative functions supporting the PD Bank should explicitly include inventory of file types and a commitment to monitor obsolescence of file types for potential migrations in order to preserve the accessibility of content.

Commitments

Non-recurring. There would be a limited one time effort necessary to negotiate and alter the UF Libraries- UFIT Enterprise Infrastructure agreement.

Recurring. There are ongoing commitments to maintain the active life of the ARL PD Bank as an accessible digital archive. Beyond the limited annual costs of maintaining the system, which are currently funded by UF, the potential cost of any needed programming, even at the negotiated cost is not insignificant. Additionally, future migrations would require some cost if conducted by the UFIT. The ongoing labor cost to support and administer the system are not insignificant. The current modest support has been fully borne by UF. The expansion of effort to include ongoing training, user needs assessment and file format monitoring would increase the commitment and investment of paid labor by library personnel. Per the most recent ARL survey, the median annualized salary for a librarian is \$70,368. Assuming a fringe rate of 33 percent and a total number of effort hours equaling 100 per year, the ongoing labor costs would be just under \$4,500 per year, shared amongst the contributing institutions.

Participation

The costs of IT support are anticipated to be supported by the UF Libraries for the foreseeable future. In the event that this support ends or is reduced, the cost would presumably be borne by ARL.

In regards to labor costs for support and administration activities, the commitment of support remains in place, but should be complemented by the support of professional level personnel at other participating libraries. The structure for these activities could be the previously proposed *ARL PD Bank Advisory Group*. This group would be sanctioned by ARL as a sub-committee of the Transforming Research Libraries committee. The ARL PD Bank Advisory Group would: “develop, implement, and oversee execution of policies, procedures, system modifications, and improvements related to the ARL PD Bank; promote the use of the PD Bank as a tool to further the understanding of how work is evolving and defined in academic and research libraries; and assess and report the extent to which the PD Bank supports the human resources management activities at participant institutions.”

Implementation

- Review and revise UFIT – UF Libraries service agreement. (UF Library faculty and ARL staff, and UFIT staff)
- Establish MOU between UF Libraries and ARL. (UF Library faculty and ARL staff)
- Establish charge for and recruit membership for ARL PD Bank Advisory Group. (ARL Board)
- Establish and promulgate recommended document formats. (ARL PD Bank Advisory Group)
- Establish plan for regular and ongoing assessment of system and responsive training program. (ARL PD Bank Advisory Group)
- Establish and formalize commitment to recurring evaluations of file format sustainability. (ARL PD Bank Advisory Group)

Policy Module

About this Module

The Policy Module contains four units: 1) Copyright, 2) Legal Agreements, 3) Diversity, and 4) Digital Preservation. These units cover how library publishers develop policies that guide specific areas of their work. In this initial release, it is focused on policies related to copyright, diversity, and digital preservation, and guidance on creating legal agreements. We recognize that there are many more policies that may be used by library publishers and hope to expand this module in future.

Authors

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Unit 1: Copyright

This unit provides a primer on aspects of United States copyright law as it relates to library publishing. Many of the principles relating to copyright apply in other countries as well, but specific aspects, including exceptions such as fair use, vary by the country in which the work is reproduced or modified. When in doubt, be sure to check the copyright rules of the applicable country. This unit approaches issues of copyright law as they apply to both the work of the publishing group and the rights of the author. Nothing in this unit constitutes or substitutes for legal advice, and it is important to work closely with university counsel when developing copyright policies.

There are two basic kinds of copyright policies that a library publishing unit will need to create: an externally facing copyright policy for authors considering publishing with the library publishing unit and a copyright review policy for internal purposes (i.e., how to review submitted publications for copyright issues).

What You Will Learn

- How to understand basic copyright principles, including the length and scope of authors' rights.
- How to identify and create copyright policies that support publishing unit goals and authors' rights.
- How to apply the principle of fair use in publishing.
- How to make informed decisions about when and how to register a copyright with the US Copyright Office.

Why Have an External Copyright Policy?

It is important to maintain a public copyright policy to inform authors and users about the types of works published by the unit and the requirements for authors related to rights. Does the publishing unit only publish works that are freely available to read? Does the unit require authors to assign a Creative Commons license to their work? (See the section on Creative Commons for more information.) These and related policies should be clearly indicated in the policy.

It is also important that the public copyright policy reflects the legal burden the publishing unit is willing to undertake. If the publishing unit is not comfortable with any assertion of fair use (see the "Using Others' Work" section below), this should be communicated to authors, who will need to obtain permissions for every source they use (beyond short quotations) in their work. Additionally, the policy should state whether it will conduct its own thorough copyright review for each publication or if that responsibility will be shifted to the author and/or editor. These provisions will help prospective authors understand the scope of their responsibilities when working with the publishing unit.

Why Have an Internal Copyright Policy?

Even if the unit's legal agreements shift legal liability for any infringement to the author of the offending material, the library publishing unit should do some level of copyright review. This is a good practice and may help insulate the library publishing unit from potential liability if a court finds secondary liability present or finds the terms of the author's warranty lacking. It is helpful for the unit to have an internal policy that describes the process for this review, and to consult with general counsel in determining what type of review is necessary and how to handle specific situations (e.g. assertions of fair use by

authors).

For liability reasons, it is inadvisable to post this internal policy publicly, especially if it includes rules for acceptable fair uses and other specific guidelines for interpreting copyright law in your local context. Courts consistently indicate that fair use determinations and other interpretations of the broad provisions of copyright law should be made on a case-by-case basis so guidelines, checklists, and other local rules may provide fodder for legal conflicts. It is important to note that internal policies may still be made public as part of legal proceedings, so all policies should adhere to the law and general counsel should be consulted when creating them.

Before we delve into the details of how to create and use these two policies, we will explain the underlying legal issues. The end of the unit returns to the copyright policies that should be created and provides participants with sample policy language for possible adoption.

Discussion

1. In 2016, library publishing scholar Melanie Schlosser found that 93% of library-published journals are open access, that a majority allow authors to retain copyright ownership, and that 38% use some form of open licensing. What do these statistics tell you about library publishers?
2. If you already work in a library or publishing unit, what is your experience with copyright and licensing statements? Have you encountered licensing and copyright issues in other areas of library work besides publishing (e.g., e-resource licensing, digital collections)? How does your library advise faculty and students about fair use?

Copyright Basics

Copyright is a set of rules that protect creators of original works. Works subject to copyright protection include writings, music, recordings, pictures, artistic works, and sometimes (in terms of the arrangement and selection of facts) even data. Individuals commonly assume they have to do something special to “own” a copyright (like file for a registration with the Copyright Office), but that is not the case. Since March 1, 1989 in the United States, you do not have to do anything other than create a minimally creative work and “fix” it in some way (write it down or record it, including on a computer). At that point, the author automatically gains the “bundle of rights” we know of as copyright: the nearly exclusive right to reproduce, distribute, display, and perform the work, as well as the right to create any derivative works and to license (or “contract”) any of those rights to third parties. If there are multiple authors, the default rule under copyright law is that all authors own an equal share in the entire work. That is, with no written agreement to the contrary, a joint author is free to give permissions to use the work (licenses) on behalf of all authors so long as they split the earnings, if any.

Copyright for works created today last a very long time: the life of the author plus 70 years (and even longer if it is a work made for hire or owned by a corporation). As of 2018, anything published in the United States before 1923 is in the public domain. This means that the copyright has expired on those pre-1923 US published works and anyone can do anything they wish with those works. And, on January 1, 2019, works published in the US in 1923 will enter the public domain.

Some works published between 1923 and 1978 are now in the public domain because they failed to meet the copyright formalities that were then required at the time of publication. There are some publicly accessible guides that help to explain this period in copyright history, including: Peter Hirtle’s [Copyright Chart](#), the [Copyright Genie](#), the [Copyright Digital Slider](#) (requires Adobe Flash download), and [Sara Benson’s YouTube Channel presentation](#) on Copyright Between 1923 and 1978.

Pre-1923

Everything published in the US during this time period is in the public domain because copyright has expired on these works

You do not need the author's permission to use

Tip

There are various tools that can aid you in determining if a work is in the public domain. Check out:
Peter Hirtle's Copyright Chart
Copyright Genie
Copyright Digital Slider

1923-1977

During this time period, formal copyright procedures had to be followed in order to maintain copyright

Authors needed to register their work, renew their copyright, and use the © symbol

If authors failed to meet these requirements, their works could be in the public domain

1978-Now*

As long as it is creative and fixed, a work created during this time period has copyright attached to it

Copyright in this period generally lasts the life of the author plus 70 years

Registration with the Copyright Office is not required, but provides certain benefits**

However, the author generally must deposit in-print, published work with the Library of Congress

*From 1978-1989, notice was still required

For a more detailed breakdown of the different periods in copyright history, visit <https://www.copyright.gov/circs/circ15a.pdf>

**So why should you register with the Copyright Office?

- Creates the presumption that someone infringing on the work had notice that the work was under copyright
- Cannot sue for copyright infringement if the work is not registered
- Permits owner to collect statutory damages for copyright infringement in court (if registered within 3 months after publication of the work or before infringement)

Figure 1.1: U.S. Copyright Then & Now. A timeline explaining the roles copyright has played throughout the years.

Keep in mind that contracts entered into by the author(s) of a work (such as a publishing contract) or by its users (such as the terms of use on a website) may have an impact on how the work can be used.

Does Copyright Protect It?

Copyright Protects

- Writing
- Choreography
- Music (and sound recordings after 1972)
- Visual Art
- Film
- Architectural Works (as of Dec. 1, 1990)

Copyright Doesn't Protect

- Ideas
- Facts
- Names, titles, or slogans (might be Trademark)
- Useful articles or inventions (Patents)

Think About It

A professor wants to show a Netflix movie in class. The professor is aware of a copyright law exception that allows her to show full length movies in class, so long as they are obtained from a legal source. Netflix isn't a counterfeit source, so she's in the clear, right?

If you said she is not in the clear, you are right! In the click-through license she agreed to when she signed up for her Netflix account, she agreed to only use Netflix for "personal use." Classroom use isn't considered a personal use.

Copyright in Publishing Agreements

When authors plan to publish a written work, they need to consider who will hold the rights to their work after publication. Academic authors, in particular, may wish to use their work in the future for teaching, conferences, sharing with colleagues on Twitter or email, and much more. However, if the academic author transfers their copyright to the publisher (as publishers sometimes request), then they will have no more rights to this work than to a work by another author and will need to operate within the constraints of copyright (e.g., requesting permission before distributing the work). It is important to note that transferring an "exclusive license" to distribute a work is the same thing as a complete transfer of copyright to a publisher. What is preferable, for many authors, is to provide a publisher with a "non-exclusive" license to distribute the work, which then allows the author to retain the copyright over the work. (Included in the recommended reading list is the SPARC Author Addendum, which can be used by an author to request or negotiate with a publisher for the retention of important rights.)

A library publisher, like any other publisher, has certain interests to bear in mind relating to copyright in the publishing agreement. The publisher must have certain rights to the work in order to distribute the work, whether in print or electronically. Additionally, in order to maintain or preserve the work, the library publishing unit must have the right to make archival copies of the work and to refresh these copies as new technology emerges. The library publishing unit will generally accomplish these goals through the use of a non-exclusive license from the author to distribute and preserve the work. (Suggested language for this type of license can be found in the Legal Agreements unit of this module.) The library publishing unit may be directly engaged with the content and with the authors (as is often the case when publishing monographs and sometimes when publishing journals and other formats), or

may act more as a service provider and technological platform for those engaged with the content (as is often the case in journal publishing and in lightweight publishing services of all kinds). The role of the unit and its engagement with the content will have an impact on copyright terms and workflows. Generally speaking, the more engaged the unit is with the content, the more control it will have over the legal terms under which it is published. Regardless of the terms being used, the library publishing unit should always obtain publication agreements. (More guidance on creating and using publication agreements is included in the Legal Agreements unit.)

Activity: Comparing Author Agreements

Read the copyright statements below and consider the following questions:

- Which words or phrases jump out at you in these agreements?
- Which favor the author's rights? Which favor the publisher's rights? What rights does an author retain if they sign the following agreements? Which rights might an author wish to retain?
- Which copyright language allows authors to distribute their work beyond the published version? Can they share their work with colleagues or collaborators, present at a conference, provide copies to students, or produce a translation?
- How would a library publisher decide which of these statements to adopt? What factors would influence their decision? Which would you choose?

Copyright Language A: Copyright Transfer

In consideration of the action of the Publisher in reviewing and editing this submission (manuscript, tables, and figures), I hereby transfer, assign, or otherwise convey all copyright ownership, including any and all rights incidental thereto, exclusively to the Publisher, in the event that such work is published by the Publisher.

Copyright Language B

By accepting this license, you grant to the Publisher the non-exclusive right to reproduce and distribute the submission, including the abstract, in any format or medium worldwide and royalty-free, including, but not limited to, publication over the Internet.

Copyright Language C: Author's Retention of Rights

Notwithstanding any terms in the Publication Agreement to the contrary, ... Author retains: (i) the rights to reproduce, to distribute, to publicly perform, and to publicly display the Article in any medium for non-commercial purposes; (ii) the right to prepare derivative works from the Article; and (iii) the right to authorize others to make any non-commercial use of the Article so long as Author receives credit as author and the journal in which the Article has been published is cited as the source of first publication of the Article.

Creative Commons Licensing

Library publishers who make the content they publish freely available online also have the option of removing barriers to reuse through the use of Creative Commons (CC) licenses, which specify under what conditions a work can be copied and distributed (or modified) without needing to ask for permission. The Creative Commons [website](https://creativecommons.org/licenses/by/4.0/) does an excellent job of walking users through the different types of licenses available, but most of them are built from a few basic provisions. Most of the licenses require attribution of the author and source of the material (the "BY" provision). The "NC," or non-commercial provision, indicates that the work cannot be used in a commercial context, while the "ND,"

or no-derivatives provision, indicates that the work cannot be modified. Finally, the “SA,” or share alike provision, indicates that the user must apply the same Creative Commons license to any work they produce using the material. It is important to note that Creative Commons licenses do not replace copyright, but, rather, provide an extra permissions layer on top of it. The rights holder of a CC-licensed publication should always be identified on the publication and is still able to grant permission for uses that fall outside of the license terms.

There are many different “flavors” of CC licenses. Licenses can be modified by adding clauses. For instance, if someone decides to designate a specific paper CC-BY-NC, then the public could use that work without first asking for permission, as long as they properly cite the author and the source of the work (the BY clause), and as long as they only use the work for non-commercial purposes (the NC clause). If someone wanted to sell the work in a compilation of works, for instance, they would have to ask the author for permission to do so.

The “share alike” (SA) designation is perhaps the most confusing. In particular, individuals think that if they use a work designated “SA” in any other work (let’s call the original work the author wishes to incorporate work X), they will need to use the same exact license as the original work, or work X. So, if work X had a CC-BY-SA, some folks would think that the new work, work Y, would have to be designated CC-BY-SA as well. That is not exactly a correct interpretation of the share alike license. Instead, the time when that would be necessary would be when the person borrowing the SA work creates a derivative or collective work using the SA work. So, if the new work (Y) just uses the other work, say a photograph (X), on the cover of the new work, but then does not adapt the work in any way, the new work (Y) need not use the same exact license as the old work X. (For further discussion of this point, click [here](#).)

Creative Commons Shorthand

- ★ - CCO = public domain
- ★ - CC-BY = attribution license
- ★ - CC-NC = non-commercial
- ★ - CC-ND = no derivative works may be created
- ★ - CC-SA = share alike

Levels of Licensing

Creative Commons licenses are often attractive to library publishers committed to making their publications as accessible and widely distributed as possible. Openly licensed publications are easier for users to download, reformat for accessibility, share, and build on, and may increase the reach and impact of the work being published.

Decisions about CC licensing may be made at the program level (the unit may require that all publications are published under a CC license), at the publication level (a particular publication may require or prefer a CC license), or at the author level (the author is allowed to select a CC license).

Having a clear and consistent policy requiring a particular Creative Commons license at the program level can encourage the adoption of open licensing while keeping policies simple for authors, editors, and others. (See, e.g., the University of Pittsburgh’s [CC-BY requirement for the journals they publish](#).) However, Creative Commons licenses may not be the right fit for every publication, and library publishers should take local needs into account when making program-level licensing decisions. For units that want to move towards a universal CC requirement for their publications, a “default CC” policy may be appropriate. Under a default policy, publications will be expected to use Creative Commons licensing, but may request an exception based on individual circumstances.

If use of Creative Commons is being decided at the publication level, the unit should work with the editor (or other responsible party) to help determine the most appropriate license and to communicate it to authors, readers, and editorial board members. If authors are empowered to select a Creative Commons license for their work, the unit should make sure that authors are being provided with the information they need to make an informed decision.

Any Creative Commons requirements or options should be included in author agreements and in public-facing policies and other copyright documentation. Library publishers should also carefully follow CC's guidelines for how to indicate that a particular work is licensed under Creative Commons. Even if Creative Commons licenses are not currently in use in a library publishing program, it is helpful for the staff to understand what they are and how they work. Authors may wish to incorporate CC-licensed content into their work, and the unit may need to advise them on how to comply with the terms of the license. (For more on advising authors on incorporating other works into their new publications, see "Using Others' Work" below.)

Activity: Creative Commons Licensing

Consider the following scenarios:

- You are a senior faculty member who has authored a textbook based on a philosophy course you have taught for many years. You want the work to have broader distribution and have approached your library to see if they would publish it as an open educational resource (OER).
- You are the author of a scholarly monograph on a hot-button issue in American politics. Your manuscript has been rejected by several university presses, but it has scholarly merit and you believe it can find an interested audience among policy-makers and concerned citizens. You have approached your library because you heard that they may be able to help.

Using the [Creative Commons Licensing Tool](#), select an appropriate license for each scenario.

Discussion

- Which license did you choose? Why? How does it further your scholarly goals?
- If you were running the monograph publishing group, would you give authors the choice of selecting among all of the CC licenses, a select few, just one? Why?
- Why might a library publishing group wish to mandate a particular creative commons license? Are there drawbacks to this approach? Are there reasons to give authors and editors a choice about which license to select? Should CC0 be included in the list of choices? Why or why not?
- Might the appropriate license differ for different types of publications (e.g., monographs versus journals; works in different disciplines)? Why or why not?

Copyright Deposit and Registration

While it is not necessary to register a work with the Copyright Office in order for it to be protected, all work published in the United States must be deposited with the Library of Congress, unless granted an exemption. (Click [here](#) for more information.) One such exemption is for most works that are solely digital with no print editions. Although not necessary, it can be helpful to register a work with the Copyright Office, and many authors and publishers continue to do so for a couple of reasons:

1. It creates a presumption that someone infringing on the work had notice the work was under copyright, if registered within five years of publication of the work.

2. It permits the owner to recover statutory damages for copyright infringement in court, if registered within three months after publication of the work or prior to infringement of the work (statutory damages are much higher, usually, than actual damages). (US Copyright Office, Circular 1, Copyright Basics (Reviewed May, 2012), available [here](#).)

It is relatively simple to file a copyright registration and the fee is negligible. The Copyright Office website is fairly easy to follow regarding the process. You can register born digital or “electronic serial” items, such as web pages, by completing the registration forms, providing the fee, and furnishing a copy of the electronic work as well as accompanying metadata to the Copyright Office.

Activity: To Register or Not to Register?

Select one of the following scenarios and answer the following questions:

- Would you recommend formally registering copyright with the US Copyright Office? Why or why not?
- What advice do you provide to the author?

Scenario 1

Your library publishing group is establishing a website to host journal content, manuscript online publications, and the submission policies and editorial boards. In a discussion with the web development team, someone asks whether you should register for a copyright for the website. What is your response?

Scenario 2

One of the groups publishing on your website includes a completely digital peer-reviewed journal for graphic designers. The journal intends to operate with open access content, but will permit each individual contributor to decide which Creative Commons license they are comfortable with for their particular submission. The editorial board for the journal has contacted a member of your library publishing team to inquire whether you think they should register for a copyright for the journal publications with the Copyright Office. What advice would you provide to the editorial board?

Scenario 3

Your homegrown library publishing group, called SPARK, has published the manuscript of an emeritus faculty member (he retains the copyright, but has decided to publish under the Creative Commons general attribution license or CC-BY). The faculty member wishes to include a print-on-demand option for the book and wants to know whether: (a) he must provide a copy of the book to the Copyright Office; (b) he should register the copyright with the Copyright Office.

Using Others’ Work

Library publishers should understand how to legally use the work of other creators in the work they publish. There are three ways to legally use others’ work when creating a new work: using work that is in the public domain, making a fair use of the work, and asking for permission.

Fair use

Fair use allows an author (and a publisher of the author’s work) to use the copyright-protected work of others without first asking for permission under certain circumstances. The preamble to the fair use provision of the Copyright Act provides that “criticism, comment . . . teaching . . . scholarship, [and] research” fit squarely into the types of uses the provision was meant to protect. 17 U.S.C. § 107 (2012).

However, fair use is a four-factor test, and all of the factors must be considered on a case-by-case basis when determining whether a given use is a fair use.

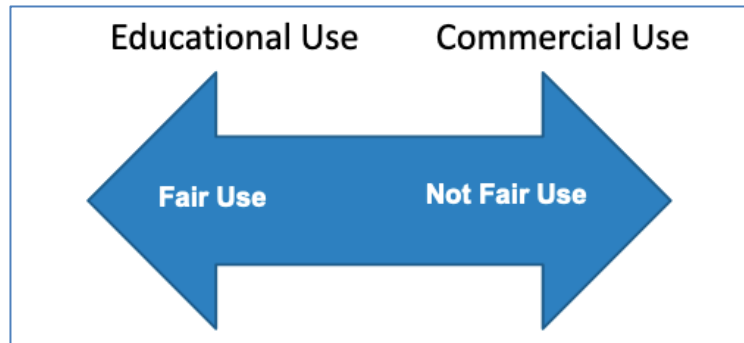


Figure 1.2: Purpose and Character of the Use.

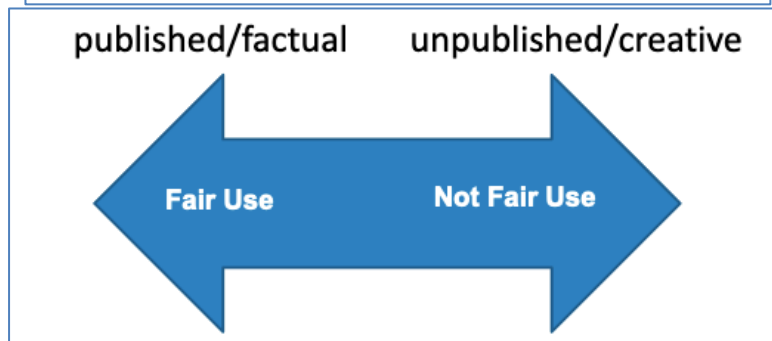


Figure 1.3: Nature of the Use.

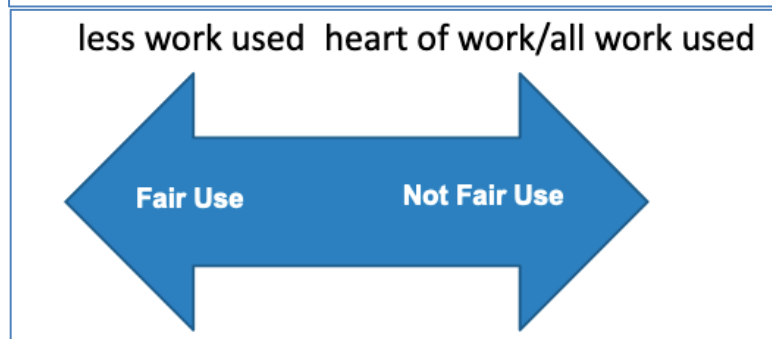


Figure 1.4: Substantiality of the Portion Used.

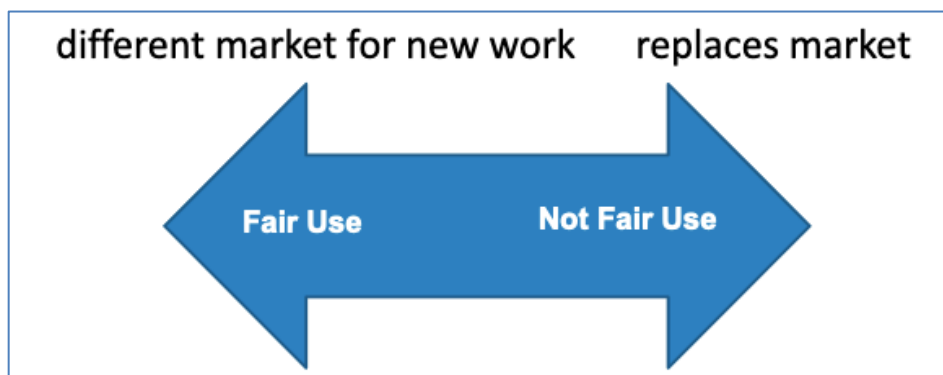


Figure 1.5: Effect of the Use on the Potential Marketplace or Value of the Work.

Copyright Law Section 207

The law says that fair use is determined by weighing the following four factors:

1. the purpose and character of the use, including whether such use is of a commercial nature or is for non-profit educational purposes;
2. the nature of the copyrighted work;
3. the amount and substantiality of the portion used in relation to the copyrighted work as a whole; and
4. the effect of the use upon the potential market for or value of the copyrighted work.

In addition to the four-factor test, courts also consider whether the use is transformative. A transformative use is one that alters the original work “with new expression, meaning or message...” [*Campbell v. Acuff-Rose Music*, 510 U.S. 569, 579 (1994)]. The more transformative a work is, the less the “negative” weight of the other factors would impact the analysis. For instance, in the Google Books decision [see *Author’s Guild v. Google, Inc.*, 804 F.3d 202 (2015)], even though Google Books is a commercial enterprise (negative weight under factor 1) and was copying entire books (negative weight under factor 3), the fact that the “snippet” view used by Google Books was transformative made the use a fair one in the opinion of the Second Circuit Court of Appeals (note that this case was never decided at the Supreme Court level).

Activity: Transformative use?

- The HathiTrust digital library inputs entire digital copies of books and other materials. For copyrighted (©) works, the general public cannot see the entire book, but can search for how many times a specific “term” is used in that work.
- Transformative use?
 - a. Yes
 - b. No

Think It Through

- Purpose of original materials:
 - Communication
- Purpose of HathiTrust term results:
 - Research

Yes, indeed the court found that the HathiTrust term numbers are transformative because they are used for research, which is a new purpose, rather than to read the text of the books, which is their original purpose.

An important note for library publishers: fair use determinations for a work need to take into account all formats and distribution channels for the work. Fair use of an image included in an open-access online publication may have different contours than fair use of that same image in a print-on-demand setting or in a full-text commercial scholarly index.

Discussion

Your unit determines that a use is fair in the context of a monograph being freely published online. Do any of the following additional distribution channels change your analysis?

- Selling print copies at cost

- Using a print-on-demand service that makes a small profit off new copies printed
- Authorizing a commercial scholarly database to index the full text of the work

Note that if the cost of the book is simply to pay for the printed materials and there is no added cost so that they are essentially paying for the ink and paper, then the answer is probably not. However, if there is an additional fee charged and the author is making a percentage royalty payment for the sale of the book, then likely the answer would be different.

Because fair use is determined by the courts on a case-by-case basis, there are no hard-and-fast guidelines for authors and publishers to use when deciding whether a given use of copyrighted material is fair. Each library publisher will need to decide, in consultation with university counsel, in what situations they are comfortable relying on fair use. This decision should take into account both the specifics of the law and the institution's tolerance for legal risk related to copyright.

Fair Use Policies and Checklists

- There are many tools to support fair use analyses, such as Kenneth Crews' Fair Use Checklist and the ALA Fair Use Evaluator.
- Be cautious of hard-and-fast rules and guidelines for applying fair use.
- Consult with university counsel when deciding how to apply fair use in the context of your publishing activities.

Asking for Permission

If the use in question does not meet the unit's standards for fair use, written permission will need to be requested from the rights holder. If the library publishing unit and the publication are non-profit and focused on research and/or education, this should be stressed to the copyright owner, which may be more likely to grant permission and less likely to request payment. The request should indicate exactly what portion of the work is being used, should note the duration of the use (generally, in the case of scholarly publications, indefinite), and the audience for the publication (e.g., if it will be freely available online). The request for permission can come from the publisher or the author, but the library publishing unit may wish to keep a copy of the permission letter on file. (Sample copyright permission request documentation is available at the [Columbia Copyright website](#).)

Activity: Using Others' Work

Your library publishing group plans to publish an open textbook that includes the following content:

1. A video clip from a Disney movie
2. A 300-word excerpt from a personal essay that has never been published (note that for this particular book, the author wishes to include the sale of a print version of the book)
3. A photograph of a Renoir painting taken at the Museum of Modern Art

Which criteria apply when determining the need for the author to seek permission in each case? How would you advise the textbook author in each case?

Creating and Using Copyright Policies

External Copyright Policy

The unit's public-facing copyright policy does not need to be lengthy or complex. In fact, it will ideally be brief and human-readable. As always, the policy should be created in consultation with general counsel. It should include the following information (all of which should be familiar based on this module so far):

- **Open access** - The policy should note whether all unit publications will be made freely available online and should indicate whether exceptions—either temporary (e.g. embargoes and moving walls) or permanent—will be granted and under what circumstances.
- **Copyright ownership** - The policy should indicate to authors whether they will retain ownership of their copyright and, if so, what rights they will grant to the publisher. If the author will be required to transfer copyright or agree to an exclusive license, the policy should indicate what rights the author will retain.
- **Creative Commons licensing** - The policy should indicate how Creative Commons licenses are being used and whether their use is mandatory.
- **Author responsibilities** - The policy should indicate that authors are responsible for following copyright law in their use of third-party materials. If the unit wants to provide authors with specific guidance around fair use (e.g. if the institution's risk tolerance is low and it prefers to avoid invoking fair use), that can also be included.

The policy should be posted on the unit's website with a "last updated" date and contact information. Individual publication policies (such as journal websites) should be checked for compliance with the unit policy, and all partners should be notified of the policy. Announcing a new or updated copyright policy is an excellent opportunity to speak with authors, editors, and other partners about rights, and to advance unit goals (such as encouraging more publications to use Creative Commons licenses).

New and prospective authors and other publishing partners should be referred to the policy to ensure that the unit is a good fit with their needs and expectations, and to surface misconceptions about copyright and licensing.

Example External Copyright Policies

As you review the below Sample External Copyright Policies, consider how the library publishing unit's policy reflects their goals and values around open access, copyright, and author's rights.

Windsor & Downs Press, University of Illinois Library Copyright Policy for Monographs

- **Open Access:** All of our publications are available to read for free online and available with a creative commons license.
- **Retain Copyright:** Authors who publish with Windsor and Downs grant us a nonexclusive right to publish their content. Authors retain their copyright and are free to copy, reuse, and disseminate the work as they like, but we do ask that authors make their work open for others to use by selecting the appropriate creative commons license permitting the distribution and reuse of their work by others.

The Ohio State University Libraries Journal Publishing Copyright Policy

Authors retain all rights to work published by The Ohio State University Libraries' Publishing Program. The specific terms of our author agreements may vary slightly from journal to journal, but they all constitute nonexclusive licenses covering the rights required to publish, index, abstract, and preserve

the content. Authors are free to reuse their work and to enter into other agreements as long as they credit the relevant journal as the site of first publication and provide a link to the journal website. We support the use of Creative Commons licenses by our journals, and encourage them to allow further distribution and reuse of their content as appropriate.

University of Michigan Copyright Policies (as of fall 2014)

In order for Michigan Publishing to publish your content, we need to have permission to do so. Generally speaking, there are two arrangements that an author can have with a publisher. In the first arrangement, the author transfers the copyright for a work to a publisher or to another organization that disseminates the work. In the second, the author grants certain rights for publication to the publisher or other organization while retaining the copyright.

Michigan Publishing avoids acquiring copyrights, preferring that our authors or publishing partners (scholarly societies, journal editorial boards, series editors) maintain these and instead simply grant Michigan Publishing the right to publish the content online. We do not claim copyright on a compilation when there is another party (often, an editor or editors) to whom this copyright more appropriately belongs.

Michigan Publishing is committed to intellectual property policies and practices that promote authorial and institutional control of scholarly assets. Like any other publisher, Michigan Publishing requires that the author warrant that the work is original and that it contains no matter that is defamatory or otherwise in violation of law and of the rights of others. Should the work contain any copyrighted material of others, Michigan Publishing requires that the author promptly obtain written permission from the copyright owner and include information about any use restrictions when submitting the work to Michigan Publishing.

Michigan Publishing also believes that wide and open access is advantageous to both the creators and consumers of scholarship. Michigan Publishing encourages authors to seek other non-exclusive publication venues should they so desire. Michigan Publishing particularly encourages its authors to deposit their works in open-access institutional and disciplinary repositories.

Internal Copyright Policy

The level of detail and formality of this policy will depend on the needs of the unit, but the following should be considered (and discussed with general counsel) when creating it:

- **Who is responsible** - This can be a single individual charged with performing a copyright review of all content or multiple people with different roles in the process.
- **What they are responsible for** - What are the people identified in the first bullet charged with doing? For example, the author of a piece may be responsible for notifying the library publishing unit about any third-party content, at which point the unit asks the copyright librarian to perform a fair use analysis of the content. If the copyright librarian determines that the use is not fair, the author may be asked to request permission from the copyright holder.
- **Determining fair use** - How comfortable is the institution with asserting fair use? Who is empowered to decide whether a use is fair? Are there circumstances in which fair use is assumed (e.g. brief quotations) or is not to be invoked?
- **Record keeping** - What decisions need to be recorded for future reference? Does general counsel recommend that you perform and keep a written fair use analysis for each fair use, or that such work be done verbally?

Some of this information may be recorded in an internal written policy, which could be as simple as, “The Library Publishing Unit will designate an individual member of the unit to conduct a Copyright Review of a first draft of a submitted work to determine the need for appropriate permission requests. The author of the work is responsible for obtaining the required permissions, if any.” Some provisions may need to be incorporated into public or partner-focused documentation (e.g. author responsibilities).

Activity: Developing Copyright Policies

You are launching a new library publishing initiative. Consider the following questions and then draft a model internal and external copyright policy. You can consult the model external copyright policies below for inspiration.

- What is your mission as a library publisher? How does this mission influence your copyright and licensing policies?
- Who on your team will consult with authors and editors about your copyright and licensing requirements as necessary?
- Who on your team will handle copyright reviews?
- Will you require Open Access publishing models? Why? Will you allow any exceptions?
- Will you require Creative Commons licenses? Why? Will authors and editors have a choice about which license?
- Will authors retain copyright to their work?
- Are there other stipulations you require from a non-exclusive license (aside from publishing, indexing, and preserving the works)? Consider activities such as marketing.

Discussion

- If working with other colleagues or groups, how do your policies differ? Did each group take the same approach to author rights, licensing, and copyright transfer?
- What factors influenced your decision-making?

General Copyright Recommendations

- **Review** - Even if authors are charged with following copyright law and performing fair use analyses for third-party content, it is helpful to have some level of review happen at the unit level. The library is more likely to have the expertise necessary to make informed decisions about legality and risk, and the publisher (or, in the case of university libraries, the parent institution) may be targeted in a lawsuit, regardless of whether agreements shift liability to authors.
- **Documentation** - We suggest having a written copyright agreement for each author and maintaining it as part of the unit’s records. If collecting individual author agreements isn’t feasible, a copyright agreement with the editor or other partner may be sufficient. (See the Legal Agreements unit for further guidance.)
- **Timing** - Copyright review should not be left to the last minute, since locating the appropriate party to ask for permission and receiving that permission in writing can take some time.
- **Expertise** - If the library publishing unit does not have a copyright specialist on staff, it may be necessary to consult with campus general counsel regarding how to best handle copyright risk related decisions. Alternatively, it may be worth the time to invest in a bit more training for a designated person in the library publishing unit to obtain additional professional development

through a copyright course or training. Copyright X is a comprehensive course run through the Harvard Library and is cost-free to a limited number of librarians each year.

Activity: Sample Policy Exercise

Individually or with colleagues, answer the following questions and then draft a model internal and external copyright policy. Consider:

- Who will address copyright reviews internally?
- Whether open access publishing or CC licenses will be required?
- Whether the author should retain copyright to the work?
- Whether there are other things you require a non-exclusive license to do (besides publishing, indexing, preserving the works) such as marketing the works?

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Unit 2: Legal Agreements

As noted in the Copyright Unit, a library publisher must be assigned certain rights from the author(s)/journal in order to publish the work. Publication agreements can accomplish this, but they also serve additional important functions. Those functions include helping to protect the library in the case of infringement, explaining the obligations of the different parties involved in the publication process, explaining obligations in the event of breach of the agreement between the parties, and more. This unit is designed to introduce the kinds of publishing agreements a library publisher may need, provide examples of such agreements, and suggest strategic partners on campus (for instance, the office of general counsel), who may need to review standardized agreement forms prior to implementation. Nothing in this unit constitutes or substitutes for legal advice, and it is important to work closely with university counsel when developing copyright policies.

What You Will Learn

- How to understand the importance of developing robust author agreements and MOUs
- How to differentiate between the primary types of legal agreements utilized by library publishers
- How to understand the factors that influence the development of legal agreements
- How to identify common elements of legal agreements
- How to draft contractual language

Activity: Think About It

Why have legal agreements?

- Give the library the rights it needs to publish
- Explain the publishing process and the roles of the participants
- Protect the library from unnecessary legal liability
- Explain obligations in the event of a breach of contract
- Other reasons?

Stakeholder Identification

Who are the necessary parties to involve when drafting legal agreements for library publishing? Stakeholders vary by institution, but the following are generally the key players to involve when drafting the model agreements.

Publishing Unit/Library Stakeholders

For publishing contracts that outline the services that your unit will provide, the unit director and staff will need to have input to be certain that the unit is willing and able to perform the services listed. Unit staff can also flag any agreement provisions that conflict with existing or planned workflows or that are likely to cause problems during production. A library administrator likely needs to be included in order to help facilitate the discussion with campus authorities and authorize any major decisions on behalf of the library.

Campus Stakeholders

A member of a business office on campus, specifically one that manages contracts engaged in by the university/college, should be included in the discussion of publication agreements. As these agreements are essentially legal contracts executed between you as a library publisher and the authors, the contracts manager in your university office should review them. General legal counsel for the university (as well as counsel for the library, if there is one) should also review and approve the templates for your publication agreements before they go into effect.

Activity: Think About It

Who should be involved in developing and executing agreements for the following? Why?

- A journal of undergraduate research
- A digital monograph authored by a single faculty member
- An edited volume published in partnership with a scholarly society
- A brand-new publishing service

Who on your campus should be involved in agreements? Why?

Types of Legal Agreements

Publishing agreements serve different purposes and vary widely in length, detail, and complexity. On one end of the spectrum, a simple author agreement may only contain a few terms and focus on transferring the necessary rights for publication. A master services agreement, on the other hand, may detail responsibilities for all parties throughout the publication process. The types of agreements you develop will depend on the types of publications you are producing, the services you are offering, and your specific legal environment (including requirements set by your library or your general counsel).

While they are more complex and time-consuming to create, detailed agreements that describe services and responsibilities enable you to negotiate, define, and document a project plan that all parties can agree to. These agreements also protect both you as a publisher and the author/partner if one party falls short of their duties on the project.

Some of the most common publication types for library publishers are journals, monographs, independent digital publications, and campus publications (conference proceedings, student journals). This lesson will cover the standard publishing agreements that address these types of publications: a Monograph Publishing Agreement, a Journal Master Services Agreement, a Journal Author Agreement, and a Memorandum of Understanding. These legal publishing agreements are flexible and, as will be explained below, addenda and appendices can be added to reflect the nuances of each project.

Sticking Points for Publishing Agreements

- Does the agreement accurately reflect the capacity of your publishing services?
- Legal protections for your publishing initiative as well as the author (e.g., Force Majeure, Author Warranties)
- Copyrights and licensing: What rights are retained by the author vs. your publishing initiative? Do you offer various levels of Creative Commons licensing?

Monograph Publishing Agreement

The publication agreement for a monograph is a legal agreement between the library publisher and one or more individual authors to produce a distinct long-form publication. These agreements generally include the following items:

- **Author(s)** - All authors must be identified, and we suggest that all authors sign the agreement. Agreement templates can include clauses for both single-authored and edited volume arrangements, or you can have separate agreements for individual authors versus multi-author volumes. The corresponding author should be identified.
- **Definitions** - To avoid confusion, include (at minimum) definitions for the following terms. You can review some examples of key definitions in the Sample Monograph Agreement included with these materials.
- **“Corresponding author”** - The publishing team can generally correspond with just the corresponding author, rather than every contributing author. This is especially useful in the case of edited volumes, where one editor is working to develop a monograph with a group of authors. The corresponding author, in this instance, is the editor.
- **“Contributing author”** - This should be defined to include those who are authors of a specific portion of a contributed work.
- **“Work”** - This term should include all portions of the work necessary to publish the manuscript, including illustrations, recordings, or any additional materials.
- **Conditions of Publication** - This section should include any requirements that the work be made open access (freely available online) or be licensed under Creative Commons (see the Copyright Unit for details). If the author has a choice of licenses, this section can include a place for them to make their selection. However, the publishing unit should be prepared to explain the options to the author(s) in order to help them decide.
- **Copyright of the Work** - This section includes a copyright license where the author(s) can assign necessary rights to the publisher. For most library publishers, this will consist of a nonexclusive license (as opposed to a full copyright transfer), but you should review the Copyright Unit for more guidance.
- **Author Warranties and Indemnities** - This section should include the author’s warranties that all the work is either owned by the author or that proper permission has been obtained. The corresponding author also should not include any work from a contributing author that they believe—or has reason to believe—infringes on the rights of anyone else. This would also be the place for a clause asking the author to waive liability against the publisher, if appropriate.
- **Delivery and Preparation of the Work, Copyediting, and Page Proofs** - Either in this section of the contract or in another document incorporated into the agreement by reference (such as the “Development Timeline”), the publisher should mandate that the corresponding author work with the publishing team to meet deadlines set for publication. This section should also note the author is mandated to use the format required by the publisher when delivering files and that the work should conform to Author Guidelines developed by the publisher. The obligations of the publisher, such as providing a Review Copy of the work and the timeliness of the review period, should also be specified in this section, as well as a reference to the preservation policy of the publisher (i.e., whether the work will be deposited into an institutional repository).
- **Publicity and Marketing** - Here, the publisher will gain a non-exclusive worldwide license to display the name and image of all authors listed in the work for publication and distribution purposes.

- **Publisher's Liability for Loss or Damage** - In this section, the publisher can ask the author to waive all liability for the publisher associated with the publication of the work.
- **Assignment** - This provision notes that if the author should die, the agreement is binding on the author's heirs or successors. Similarly, should the library publishing group be succeeded or subsumed into another organization, the agreement would be binding on the successor organization.
- **Force Majeure, Separability, and Terms of Termination, Parties for Notice, Signatures, and Appendices** - If any, they should all be included as described below for the Journal MSA.

Journal Master Services Agreement

Libraries that publish journals vary widely in their involvement in the day-to-day operation of the journal and the production of content. In some cases, the library functions mainly as a platform provider and hosts the finished content provided by the journal editor(s). In others, the library is involved in the production and communicate directly with authors. In all cases, we recommend that an agreement is formed at both the journal level and the individual author level.

A Master Services Agreement for journals ("MSA") is a governing agreement between you and the editors, or sponsoring society, of a journal to host and disseminate their journal through the publishing platform and/or printer. Depending on the services provided and the expectation of library administration and general counsel, your MSA may include some or all of the following components:

- **Definitions** - You may want to define basic terms ("journal," "service," "launch date"), technological terms ("migration," "patches," "server"), and any other terms whose ambiguity may cause confusion or conflict.
- **Description of Services Provided by the Library Publishing Unit to the Journal** - This is an essential section of the journal MSA and should indicate the library publishing unit's responsibilities in publishing the journal.
- **Requirements of the Journal Partnering with the Library Publishing Unit** - In this section, spell out the requirements of the journal partner. Will they need to comply with all deadlines in a timely fashion? Will they need to create/assign log-in passwords to their editors and inform the library of those team members? Will they be responsible for migrating any contents to a new website if a new site is established?
- **Duration of Services and Terms Governing Termination of Service** - How long will the library be bound to provide services to the journal? This should be explicitly spelled out in the MSA, and can either be a set time frame (e.g. three years) or can be indefinite with a process for either side to dissolve the agreement (including required notice periods and a provision that the library may continue to make available the content it published during the period of the agreement). You may also want to include information about how long the agreement can be in effect before publication of the journal begins; in other words, if work on starting up the journal stalls (for example, due to the editor not responding to requests from the publisher), when will the agreement expire?
- **Designated Contacts for Journal and Publishing Unit & Authorized Signatories** - Designate a principal contact person for the journal and the library publishing unit, especially for communications related to the MSA.
- **No Warranties Provision** - Your counsel may ask you to include a provision for the journal to indemnify the library. In other words, stating that there are no warranties provided for any services rendered and that the journal partner holds the library harmless for any damages or issues resulting from the services provided under the MSA.

- **Force Majeure Clause** - This clause recognizes that a party may fail to perform under the contract due to circumstances beyond their control (such as a natural disaster). It notes that if this occurs, the party should notify the other party and attempt to remedy the situation within a specified period of time (e.g. 24 hours).
- **Severability** - This provision notes that if any provision of the MSA is held by the court as unenforceable, the remainder of the contract may still be enforced.
- **Choice of Law** - Generally speaking, the university will prefer the contract be governed by the laws of the state in which the university is located. Some general counsels will require this, especially if mandated by state law (for public universities).
- **Signatures**
- **Appendices** - If additional documentation is necessary, an appendix attached to the agreement is a good place to include it. If you have a general binding timeline for the publication process you could choose to include it as an appendix incorporated by reference into the agreement as well.

Journal Author Agreement

In addition to the agreement between the publisher and the journal, each journal should also have an agreement between the author and the journal and/or the publisher. The details of these agreements and how they are collected and managed will vary depending on the journal's policies and the role of the library in publishing the journal.

Ideally, the library will have a signed author agreement on file for every journal article. Having this documentation not only ensures that the library has the rights it needs to publish, but it can also help the library resolve takedown requests and any other rights-related issues that arise. In cases where this is impractical, other options include:

- Using a submission management system that allows the author to click through the author agreement at the time of submissions. Although these systems generally do not keep a copy of the license with each submission, by having a record of what license was in use at any given time, the library can effectively "recreate" the author agreement for a given submission.
- Relying on the editor(s) or other journal staff to collect and retain author agreements. Where this is the case, the Master Services Agreement should specify that this is the responsibility of the journal, and that the library can ask for this documentation if the need arises.

Regardless of how an agreement is met, the library will most likely want to be involved in drafting to ensure that it is legally valid, contains the necessary provisions, and aligns with the publishing unit's copyright and other policies. The agreement should contain at minimum:

- A non-exclusive license from the copyright holder (the author) giving the library the rights it needs to publish, distribute, and preserve the work
- A Creative Commons license (if it's in use by the journal)
- A warranty that the work is original and does not infringe copyright

Memorandum of Understanding

A Memorandum of Understanding (MOU) frequently is employed when the library publishing unit is providing a publishing service to another unit within the university. For instance, if the English Department wishes to produce a journal for its students and publish it through the library, an MOU could be the controlling document.

An MOU is less formal than an author agreement or journal services agreement and is used in cases when everyone involved is at the same institution (which cannot enter into contracts with itself). Still, because it is an internal agreement, there may be particular local campus policies, rules, and restrictions that you must abide by in providing services to another unit in your organization.

An MOU may contain many of the same terms as a regular service agreement, but it should also include clauses that cover any specific local policies, rules and restrictions that you must abide by in providing services to another unit in your organization. (We recommend the following guide developed by the U.S. Department of Health and Human Services provides a good outline of general MOU development: Johnson, M., & Sterthous, L. (1982). *A Guide to Memorandum of Understanding Negotiation and Development*, U.S. Dept. of Health and Human Services, available at <https://aspe.hhs.gov/basic-report/guide-memorandum-understanding-negotiation-and-development>)

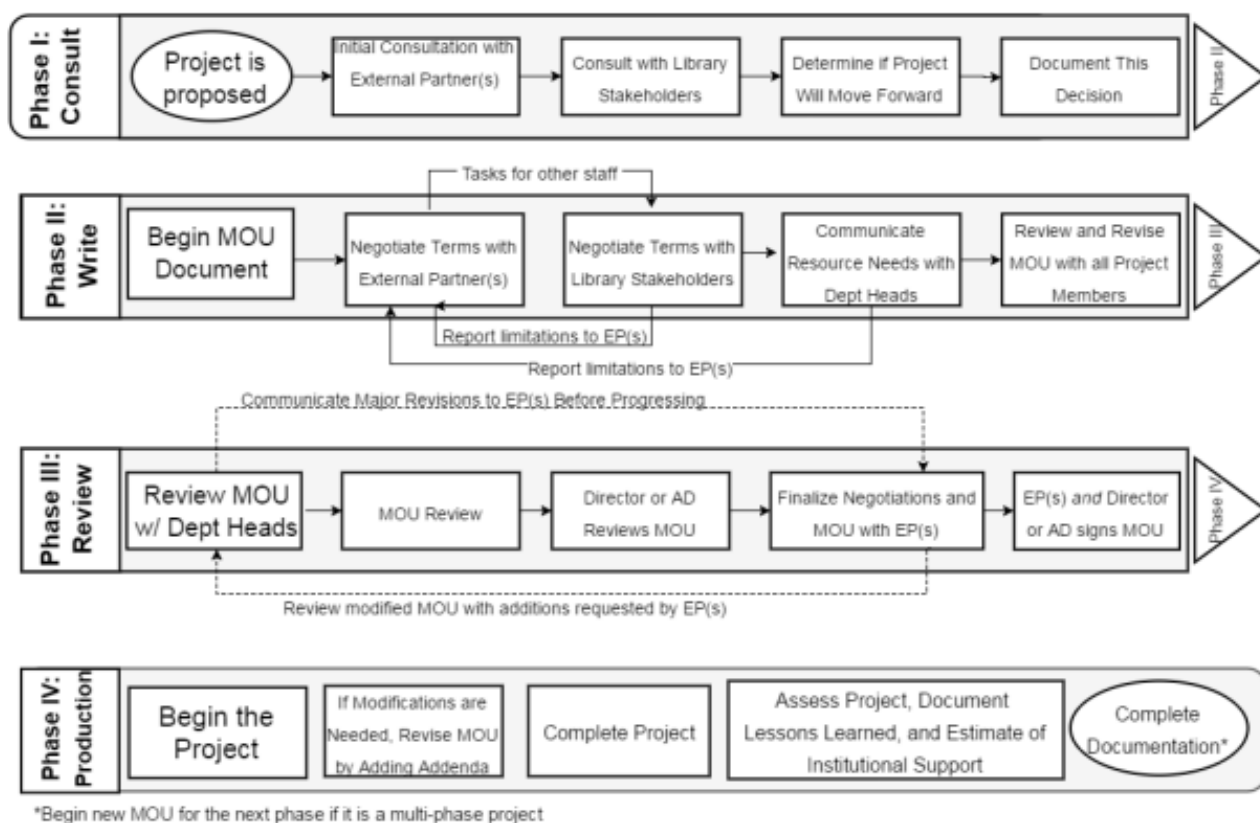


Figure 2.1: MOU Workflow. A flowchart explaining the different phases and steps involved with creating an MOU.

Activity: Reading Sample Agreements

Considering all example agreements in Appendix A, answer the following questions:

- What are the biggest differences between the agreements?
- Why are some longer and more complex? When is it helpful to have a more detailed agreement?
- Do you think there is anything missing?
- How might you need to adapt these agreements for use in your local context?

Policy and Procedures with Publication Agreements

Publication agreements intersect with and influence the policies of the library publishing unit in a number of ways. Understanding how your legal agreements and policies complement each other is crucial to the success of moving forward with publications.

Finalizing Agreements

The stakeholders that we discussed earlier will all be involved in some way in the execution of the publication agreement. To enact the procedures for your publication agreements, here are key pieces of information to find out:

- Who are the signatories to the agreement?
- Does a certain official (e.g., the university comptroller) have to be the one who signs on behalf of the university?
- Who needs to review the agreement before it's signed?
- Where are signed copies of the agreement to be stored?

Unit Policies

Publication agreements must be in accordance with the policies of the publishing unit, the library, and the university. The creation or updating of a publication agreement is a good opportunity to revisit your unit's policies and services and ensure that the unit can provide what it is promising and that there are no conflicts between the policies and philosophy of the unit and the agreements it is using.

Activity: Legal Agreements as Guiding Documents

How could a legal agreement be used as a guiding document to resolve each scenario?

- **Scenario 1:** An author does not turn in their manuscript within the agreed timeframe.
- **Scenario 2:** A journal insists that you add a new plug-in to your publishing platform.
- **Scenario 3:** Your library has a commitment to Open Access, but a potential, high-profile author remains unconvinced and wants to publish a book with you behind a paywall.

Activity: Creating Your Unit's Legal Agreements

Your program is getting ready to begin work on a new publication. This activity will walk you through the process of creating the legal agreements you will need for this project. In small groups, share the following:

- About your publication - type of work (journal, monograph, etc.)
- What your program's role will be in the publishing process (e.g., developmental editing, production, hosting the final content, etc.)
- The project stakeholders - internal and external, partners and staff, etc.
- What kind of legal agreement(s) you will need and why. The group may want to discuss each participant's project to help them identify the appropriate agreements.

Individually, identify the following for each agreement you will need:

- The purpose of the agreement
- The parties that need to be involved in creating it
- The parties that need to sign it

- The major provisions you will want to include.

Unit 3: Diversity

There are many policies and editorial processes which will intersect with diversity and inclusion. Peer review processes and policies, accessibility standards, and staffing are all examples of areas where it is important to be mindful of diversity. This unit specifically deals with developing a diversity policy for a library publishing program, but library publishers need to be mindful of diversity when developing any policy.

“As librarians who are engaging more directly with scholarly publishing, we must ask ourselves: Are we perpetuating the biases and power structures of traditional scholarly publishing?”—Charlotte Roh, C&RL News

Before developing a diversity policy in the context of library publishing, it’s important to understand the general landscape of diversity and inclusion in scholarly publishing and in academic libraries. There have been a number of reports and research articles published in the last few years that cover these topics. In 2017, Ithaka S+R and the Mellon Foundation published a [report](#) examining employee diversity within the libraries that are members of the Association of Research Libraries, which found that research libraries tend to be racially homogenous organizations (71% of employees are white and 87% of employees in senior management positions are white).

Also in 2017, the Association of Research Libraries published [Spec Kit 356: Diversity and Inclusion](#), which gathered information about recruitment and retention strategies that aim to increase the number of minority librarians as well as information on other diversity and inclusion initiatives in research libraries. While both these reports highlight the struggles and efforts to diversify the library workforce, in an [article](#) for C&RL News, Charlotte Roh cites a number of studies demonstrating the inequalities present in scholarly publishing and asks “are we using library publishing to interrogate, educate, and establish more equitable models of scholarly communication?” Library publishers have an opportunity to proactively create more equitable models of scholarly communication. One of the first steps is to create a diversity and inclusion policy that can be used as a basis for including those values in the library’s editorial strategy. (It’s important to note that general editorial strategy is covered in the Content Module, and that diversity should also be a key component of personnel recruitment and retention, which is covered in the Sustainability Module.)

Check Out the Numbers

- Academic Librarianship by Gender:
 - 61% female; 38% male (Schonfeld & Sweeney)
- Librarianship by Race and Ethnicity:
 - 71% White Non-Hispanic; 8% Black or African American; 8% Asian; 6% Hispanic; 1% one or more races; less than 1% Native American; less than 1% Native Hawaiian or Pacific Islander (Schonfeld & Sweeney)
 - Senior management positions: 87% White Non-Hispanic (Schonfeld & Sweeney)
- Scholarly Publishing by Gender:
 - Women account for fewer than 30% of authorships (Larivière, et al.)
 - Men represent slightly more than 70% (Larivière, et al.)
 - Men hold first authorship more than women (60%) (Larivière, et al.)
- Scholarly Publishing by Race:
 - “In 2013, 21 percent of faculty members in the United States self-identified as [6.7] a racial or ethnic minority (US Department of Education, National Center for Education

Statistics 2015), in contrast with the estimated 37.2 percent of Americans who identify as a racial or ethnic minority (US Census Bureau, n.d.).” (Roh & Inefuku)

What You Will Learn

- How to use campus and library diversity policies to inform the development of a library publishing diversity policy
- How to identify stakeholders on and off campus to consult when developing a library publishing diversity policy
- How to write a library publishing diversity policy
- How to plan for implementation of a diversity policy and recognize potential barriers

Factors to Consider When Developing a Diversity Policy

Any number of factors may inform a library publishing diversity policy, many of which are dependent on specific institutional contexts. This section focuses on three key factors that should be fairly universal to any library publishing initiative and which can provide a solid foundation for developing a policy.

Institutional Policies and Library Diversity Plans/ Policies

Most universities and academic libraries have diversity and inclusion policies. If your library press or publishing initiative decides to craft a diversity policy, it’s necessary to take a few things into consideration. First, look to the broader diversity and inclusion initiatives taken on your campuses and in your libraries. Then, you’ll want to examine the initiatives taken by other universities, their libraries, and their presses. It may also be useful to note what identities are covered by an institutional/campus-wide policy and whether any identities are excluded. The scope of these policies may limit the ability of library publishers to include these groups in their diversity and inclusion efforts. If possible, a library publishing unit should be involved when the library or college is drafting new diversity, inclusion, and equity plans.

College and University Diversity Policies

Examples of University Policy Statements on Diversity and Inclusion:

- The [University of Wisconsin-Madison](#)’s Diversity and Inclusion
 - Statement on diversity and inclusion
 - Framework for promoting shared values of diversity and inclusion, improving coordination of campus diversity planning, engaging the campus leadership for diversity and inclusion, and more
 - Resources for people on campus, including innovation grants to promote diversity and inclusion
- [Amherst University](#)’s Diversity and Inclusion
 - Board of Trustee’s statement on diversity and inclusion
 - Resources for students, faculty and staff
 - Ongoing staff training
- The [College of DuPage](#) Center for Student Diversity and Inclusion
 - Vision statement
 - Mission statement
 - Goals to develop, implement, and evaluate programs and services that support their African American student population, provide opportunities for students to participate

in campus activities and events, mentor students, and recommend organizational changes that remove barriers to inclusion and promote student success

- The University of Texas at Austin [Diversity and Inclusion Action Plan](#)
 - Both general policies and specific actions that the university will implement
 - Specific areas of focus
 - Defines itself as a “living document” that will be updated to reflect the needs of the community
 - Goals demonstrate a commitment to diversity and inclusion through strategic and budgetary priorities; achieve and maintain a diverse university leadership team; and establish diversity, equity, and inclusion committees within each college, school, and unit

Please note that there may be other institutional documents that address diversity, such as strategic plans and non-discrimination statements, and that these documents may also inform your diversity policy. Also note that while policies should align with library- and campus-level policies and other documents, they don’t necessarily need to duplicate aspects covered in higher-level policies. For example, if a library policy covers diversity in staffing, the library publishing diversity policy may not need to cover diversity of library publishing staffing. Linking or referring to applicable policies within the parent organization is good practice in these situations.

Library Diversity Policies and Plans

It’s also common for academic libraries to have a policy and/or strategic plan on diversity and inclusion. The ARL SPEC Kit 356: Diversity and Inclusion defines a diversity/inclusion plan as:

“A diversity/inclusion plan may include a statement of diversity values or goals for the library, a description of strategies for recruiting ethnically/culturally diverse staff to the library and retaining them once they are hired, an outline of programs that promote ethnic/cultural sensitivity in the workplace, results from a workplace climate assessment, and other similar elements. It may be a stand-alone document or part of a broader document, such as a library strategic plan or an institution-wide diversity document.”

If your library is developing a diversity/inclusion plan, make sure that the library publishing unit is involved in the process and that the policies you develop are included in this broader effort. Examples of Library Diversity Plans:

- The [University of California San Diego](#) has a Diversity Plan which includes:
 - A statement on diversity *and* specific activities in support of diversity and inclusion
 - Specific goals and actions:
- Working with members of the Library Administration and Library Council to articulate the Library's expectations of its staff for cultural competence, in keeping with the University of California Diversity Statement ([University of California Diversity Statement](#))
 - Working with the Library's Training Coordinator to provide diversity-related educational opportunities for Library staff
 - Creating opportunities and venues for discussion of diversity/equity issues within the Library
- The [University of California Irvine Libraries](#) Diversity and Inclusion Plan includes:
 - Focus areas of enhancing diversity efforts in recruitment and retention of librarians and staff, increasing diversity and awareness and sensitivity among library employees,

- promoting diversity values in service to users, and ensuring that the library presents a welcoming and inclusive environment in physical and virtual locations
 - Specific goals for each focus area
- [Indiana University Libraries](#) has a Diversity Strategic Plan which includes:
 - Values statement
 - Guiding policies and best practices
 - Plan to gather metrics and ensure accountability
- The director of MIT's library, Chris Bourg, issued a [statement on diversity, inclusion, equity & social justice](#), which reaffirms the library's commitment to diversity and equity already in present in their [vision, mission, and values statement](#) and a long-standing [committee on the topic](#).

Identifying Stakeholders

Any policy developed as a library publisher will involve a number of stakeholders. It's important to be able to identify those stakeholders in order to reach out and involve them in the process of developing the policy. It's also very likely there are [people on your campus](#) who are already working on diversity and inclusion initiatives, some of whom are charged with helping the campus ensure their policies are fair and equitable. It's also important to keep in mind that it is not fair to ask underrepresented groups on your campus to do the work of making institutions more diverse, [especially without compensation](#). In 2017, the Graduate Employees' Organization, the labor union representing graduate student instructors and assistants at the University of Michigan, [filed a proposal](#) with the university, calling for unionized positions for graduate students working on Diversity, Equity, and Inclusion. The proposal was denied, but it underscores a broader push in higher education to compensate employees and students who are working to address these issues. Keep this in mind when creating a list of stakeholders. You may want to consult stakeholders and ask for feedback, but you should not expect your stakeholders to write your policy for you.

It's important to consider that the stakeholders for a library are most likely going to be slightly different than the stakeholders of a publishing program because publishing inherently has a larger audience. For example, the Diversity Committee at the University of Illinois Library developed the following statement on diversity and inclusion:

"The University of Illinois Library is committed to an environment that welcomes, cultivates, values, respects and supports the differences and contributions of all students, faculty and staff at the University of Illinois, and the community."

When developing a policy for library publishing, the Scholarly Communication and Publishing team at the University of Illinois decided the statement should also include language about creating a welcoming environment, but the stakeholders go beyond students, faculty, and staff at the University of Illinois. The statement was modified to state:

"The Illinois Open Publishing Network (IOPN) is committed to an environment that welcomes, values, respects and supports the differences and contributions of all members and partners at the University of Illinois and in the global community."

The full IOPN diversity statement is provided later in the unit, and the important takeaway is that your policy should align with other policies on campus, while taking into consideration the specific context of scholarly communication and publishing. Before you write a diversity policy consider the following questions about stakeholders:

- What organizations, departments, and committees on or off your campus will be affected by your policy?
- Are there other groups on your campus that are working on similar initiatives? Are there other groups on campus who are working on general diversity and inclusion initiatives?
- How will you engage these stakeholders?

Keep in Mind

It's important to identify stakeholders and carefully consider how your policy will affect them and how their values are represented in your policy. Policy should be informed by the people and institutions affected by that policy, while keeping in mind that it is not fair to ask underrepresented groups to do the work of making institutions more diverse, especially without compensation

Activity: Stakeholder Identification

Identify groups and individuals that will be affected by your library publishing diversity policy. Pick one or two of the people or groups you identified and consider how exactly they'll be affected and how their values will be reflected in the policy you develop. Most importantly, brainstorm actions your publishing program could take to ensure that your policy is more than just a statement. How might you engage this individual or group and how might they benefit from library publishing services? You don't need to have all the answers, but it's important to think about engagement and specific actions you can take in order to make your diversity and inclusion policy a truly proactive and driving force behind your program.

Stakeholders are the people who are affected by your program. Some examples include students, faculty, deans, librarians, library diversity committees, etc.

- Pick one or two of the stakeholders you identified. How are the specific people or groups identified affected by the policy?
 - **Example:** The University of Illinois Library faculty and staff, Office of Inclusion and Intercultural Relations, International Student and Scholar Services, Office of Diversity, Equity, and Access, Division of Disability Resources and Educational Services, Women's Resource Center, Bruce D. Nesbitt African American Cultural Center (BNAACC), Asian American Cultural Center (AACC), La Casa Cultural Latina (La Casa), LGBT Resource Center (LGBTRC), Native American House (NAH), international students
- How will their values be reflected in your library publishing policy? How might you engage them to get feedback on your policy?
 - **Example:** One of the Women's Resource Center's goals is to "achieve greater gender equity and cultural diversity". WRC is affected by the University of Illinois' Library Publishing diversity policy because there is a large gender and race/ethnicity imbalance in scholarly publishing and academia.
- What actions will you take to engage stakeholders and ensure that your policy is more than just a statement?
 - **Example:** The University of Illinois Library's publishing program can support the publishing needs of students and staff members who work at the WRC and other cultural houses. For example, the library published this digital exhibit on the [History of the WRC](#) and the publishing department consulted with students over the course of the semester. The publishing program can also reach out to staff at cultural centers when assembling an advisory board or campus interest group. When conducting surveys on the scholarly publishing needs of campus, U of I's library publishing program can reach

out to WRC and other cultural houses to ensure that they have a voice in how services are designed.

Implementing Diversity and Inclusion Policies

Policies have no impact unless an institution takes specific actions that are in alignment with the policy. It is important to think about possible actions a library publishing program can take to create a diverse and equitable scholarly publishing environment. Actions can be framed by the four areas that library publishers can address—funding, recruitment, content, and editorial leadership:

- How can diversity and inclusion in library publishing be supported financially?
- How will a library publishing program recruit and support diverse editors, authors, and reviewers?
- How will a library publishing program develop diverse content?
- How will diversity and inclusion shape leadership roles both at the publisher level and editorial level?

These broad questions can be narrowed down into more specific questions. Consider the following as a starting point for brainstorming ways to actively implement a diversity and inclusion policy:

- **Internal and external consideration:** How will you ensure the journals and books you publish represent diverse scholars? For example, will you make it a criterion that the journals you publish consider the demographics of their editorial board and make an effort to recruit diverse contributors?
- **Internal and external consideration:** How will your editorial strategy reflect your commitment to diversity and inclusion? Can you build partnerships on and off campus in order to recruit diverse authors?
- **Internal consideration:** What resources can you provide to support diverse early career authors who may need help using digital tools, promoting their work, and demonstrating the impact of their scholarship?
- **External consideration:** Will you focus on publishing Open Access scholarship to ensure that anyone with an internet connection has access to that work?
- **External consideration:** What steps will you take to make sure your publications are accessible to the greatest number of people, including people who may not have access to high-speed internet or people with disabilities?

It is likely that there will be barriers to implementing actions in alignment with a diversity and inclusion policy. For example, if a library publisher rejects a local journal because the editorial board does not have its own diversity and inclusion policies, there could be pushback from other campus stakeholders. (It is worth noting that a more productive approach in this situation may be to work with the editorial board to adopt diversity and inclusion policies for the journal.) Other possible barriers might include lack of funding for author support and difficulty building partnerships or recruiting authors.

Another barrier to implementation of a diversity and inclusion policy may be lack of cultural competence. Successful implementation of a diversity and inclusion policy requires that the staff charged with implementing it are able to work effectively with a diverse set of stakeholders and partners. Cultural competency or implicit bias training may be helpful in this area.

Activity: Actions for Alignment with Diversity and Inclusion Policies

In groups of 3-4, take 10 minutes to discuss what possible actions a library publishing program might take to actively fulfill its diversity and inclusion policies? Report out to the class. If you have difficulty thinking of specific actions, try thinking about them in terms of funding, recruitment, and content.

Writing a Diversity and Inclusion Policy

Unfortunately, there are not many publicly available examples of library publishing program diversity and inclusion policies to pull from. One example is [Iowa State University Digital Press](#), which has an excellent diversity statement:

“The Iowa State University Digital Press is committed to increasing the diversity of voices that is represented in the scholarly record. We welcome journals and conferences that seek to publish articles from students, emerging scholars, authors from underrepresented groups, in languages other than English, and voices from outside academia. We strongly encourage journal editors and conference committees to build editorial boards and peer reviewer pools that are inclusive of a diversity of identities, geographies, perspectives, and lived experiences appropriate to the scope of the journal or conference.”

The statement takes into consideration [Iowa State University’s policies](#) and its [library’s policies](#) on diversity and contextualizes them in library publishing. It specifically mentions key stakeholders such as students and emerging scholars and it provides clear examples of actions that it will take to make its program more inclusive.

The Illinois Open Publishing Network (IOPN), a library publishing initiative at the University of Illinois, worked over fall 2017 to draft a diversity and inclusion policy for a newly established program. The draft is still in the process of being reviewed and will likely change based on feedback from the library’s Diversity Committee and other stakeholders. The following is the draft statement:

“The Illinois Open Publishing Network (IOPN) is committed to an environment that welcomes, values, respects and supports the differences and contributions of all members and partners at the University of Illinois and in the global community. IOPN actively cultivates partnerships, author relationships, and a portfolio of scholarly works that reflects the diversity of scholarly communities at Illinois and around the world. IOPN provides openly accessible educational and research resources for publishing tools, principles for scholarly communications, and outputs of research scholarship. IOPN is dedicated to facilitating an inclusive scholarly dialogue grounded in respect and appreciation for all individuals. As an open access publisher, IOPN seeks to ensure that all communities have the broadest access to knowledge and research scholarship produced by IOPN authors through accessible digital platforms and discoverable works.”

The statement was written with both the library’s and the university’s diversity statements in mind, and with the understanding that their stakeholders go beyond the university community. The team also considered actionable items, such as developing a diverse portfolio of scholars, to include in the policy. When developing a policy, a library publisher will want to consider all these factors, and possibly more, in order to draft a statement that reflects the goals of the larger institution, stakeholders in an initiative, and actionable measures that can be taken.

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Unit 4: Preservation

Libraries often serve as long-term repositories for important cultural, scientific, and historical documents. Ensuring reliable and ongoing access to that content is a mission-driven feature of their work. This unit introduces ways that library publishers can design and implement preservation policies that help to ensure the longevity of their digital publications.

What You Will Learn

- To understand why publishers care about digital preservation
- Be able to name some of key risks to digital content's survivability and ways libraries offset those risks
- How to identify potential preservation partners within a library
- How to create a Preservation Policy that supports a publishing unit's goals

Why Digital Preservation Matters to Publishers

Once a publisher finalizes and releases a new publication in digital form, that publication becomes a preservation conundrum. Unlike print publications, which can often be shelved and left alone for long periods of time without significant degradation, digital content requires ongoing and persistent attention in order to remain viable and readable for future audiences.

Digital content is notoriously ephemeral and easily compromised. Digital preservation focuses on a wide range of risk factors in order to offset the chances of unintended change to or loss of files. Key concerns addressed by digital preservation include:

- **Media Obsolescence:** Files are stored in physical containers, usually referred to as “storage media” (e.g., disks, drives, servers). These containers have changed rapidly over time, from cards to tapes, from floppies to zip drives, and from solid-state to cloud-based drives. As new storage media emerges, older models quickly become outmoded. Imagine a publisher with a set of 8” floppy disks from the 1990s. In that decade, the floppy was a universal standard. Today, the publisher is unlikely to be able to find a device that can read an 8” floppy disk, yielding the data they contain unrenderable. In the future, the same is likely to be true for the storage devices and environments we use today.
- **File Formats and Software Dependencies:** The software and operating systems that we use to create and render files also changes rapidly over time. The files we store depend in part upon those software environments for their meaning. If a publisher has a set of WordPerfect files from the late 1980s, reading those files is going to be difficult at best. Those files require the context provided by the WordPerfect software version in which they were created, and that software has long been out of circulation. Those files no longer function in today's operating systems.
- **Unique Content:** Some library publishers work closely with faculty members to produce works that are one-off creations (e.g., a multimedia digital humanities publication built by a programmer in order to enable specific, unique features). That publication will have dependencies on the current configuration of the world wide web, current programming languages, and other contextual components. Maintaining the publication will require constant updating of the platform so that the content continues to behave the same as its environment changes.

- **Media Failure:** Any and all media components (computer, server, hard drive, etc.) are prone to system failures. These may occur due to a system error or through the physical loss of the media component (e.g., due to a flood or fire that takes out a computer or server entirely).
- **File Failure:** All files are comprised of a series of 0s and 1s, called a “bitstream” or “bytestream.” Over time, files may experience “bitrot,” or the loss of a few 0s and 1s along the way, and these may compromise the file’s integrity.
- **Security Threats:** Files and media containers are vulnerable to the theft, alteration, or deletion of historically significant content (e.g., a person intentionally hacks and changes a document).

Due to all of these and other threats to the integrity of digital content over time, the file types and devices a publisher uses to store its published content today will need to be monitored and refreshed to ensure the longevity of a published work. By developing and maintaining a preservation policy, a publisher documents the commitments it is making and clarifies those for both authors and readers.

How Do Libraries Currently Preserve Digital Content?

Approaches to digital preservation infrastructures vary widely. Most academic and research libraries that house unique digital collections take steps today to care for these collections’ long-term needs, including through various digital curation steps and through specific storage environments (usually including several different hardware and software environments and multiple geographically distributed locations). There are a wide range of community-owned digital preservation networks that enable individual institutions to team up with their peers to undertake digital preservation. There are also publication-specific digital preservation networks that many publishers invest in and use to diversify their preservation approaches.

How Do Libraries Currently Preserve Digital Content?

Approaches to digital preservation infrastructures vary widely. Common steps in the digital preservation process include:

- Checksum management
- Preservation metadata
- Format normalization
- Migration
- Replication
- Security
- Storage in different hardware, software, and geographical environments

Where Do Libraries Currently Preserve Digital Content?

Commonly used preservation environments:

Preservation Networks

- APTTrust
- Chronopolis
- Digital Preservation Network (DPN)
- DuraCloud
- MetaArchive Cooperative
- UC3 Merritt

Publication Specific Preservation Networks

- LOCKSS
- CLOCKSS
- Portico
- HathiTrust

As well as what is documented in the Preservation Unit of the Sustainability Module of the Library Publishing Curriculum Library, publishers seeking best practices for digital preservation have access to a wide range of resources today. These include the [Digital Preservation Coalition's "Digital Preservation Handbook"](#) and the US-based [National Digital Stewardship Alliance's](#) wide range of reports and community-driven activities. Current best practices include selecting and using reliable file formats, creating and storing metadata with each file, storing at least three copies of each file in at least three geographically distinct, secure locations, and regularly assessing and updating software and hardware elements.

Identifying Preservation Partners

Before you begin drafting a digital preservation policy, you will want to consult with other sections of your library to see what infrastructure and services may already exist. Most academic and research libraries have made a commitment to digital preservation for portions of their digital collections; partnering with other units in your library may help you to achieve both efficiency and scale in your own preservation efforts.

Some library publishers will be able to leverage their library's infrastructure and processes to accomplish the preservation of the digital content they publish. In this case, a library publisher will want to carefully think through and document their publishing unit's preservation policy in a way that points to the larger library's preservation policy (while also making sure that their content and aims are sufficiently covered in that broader digital preservation policy).

Whether or not you are able to "fit" into the larger library's digital preservation mission, vision, and program, as a publisher, you will still need to document your publishing unit's specific roles and responsibilities regarding the content you issue. Thinking through and specifying for your authors and your institution how you make selection decisions (Do you preserve all files? Or just the final published content?), what preservation actions you take (Checksums? Format normalization? Migration? Monitoring hardware and software for obsolescence? Replication and geographical distribution?), and how long you intend to maintain content (Forever? At least 5 years?) is an important marker of your role as the long-term home for the intellectual content you publish.

Why Preservation Policies Matter

Because technologies will continue to evolve and new challenges will emerge accordingly, digital preservation is about acquiring and maintaining the necessary knowledge and skills to make wise decisions about how best to direct resources toward providing long-term access for digital materials in their ephemeral forms. A Preservation Policy helps an institution to achieve this aim through documenting its intentions. The institution then should regularly audit itself against its policy, updating the policy as necessary to continue fitting the reality of the institution.

A policy document is not a roadmap that provides detailed instructions on how to *do* preservation; instead, it is a big-picture document that should help everyone in your publishing unit to stay on the same page about your commitment to preservation.

A Preservation Policy will outline your mission, your preservation philosophy, and your intentions. It will briefly describe how you select content for preservation (e.g., do you preserve every file created when you publish, or just a subset of those files?). It will also briefly describe what strategies you deploy to protect your preserved content, from what metadata standards you use to what curation steps you incorporate (e.g., format normalization/migration, checksum management, duplication of content, geographic distribution of copies). It should also discuss what positions undertake specific roles and responsibilities for preservation and how you sustain your preservation efforts. The policy should be succinct, and it should include information about when it was last updated and when it next needs updating.

What Does a Preservation Policy Typically Include?

Common elements in digital preservation policies:

- **Policy Statement** - The Policy Statement provides a simple statement (1-2 sentences) relating digital preservation to the institution's mission and the communities it serves.
- **Summary Statement** - This section tends to be 2-3 paragraphs that summarize the institution's approach. It may cover such topics as: What digital resources does the institution preserve and why (e.g., institutional or legal obligations)? Who selects content for preservation? When are decisions about preservation made for an object/publication? What forms or formats are prioritized (e.g., masters or use copies)? Who wrote the policy and how often is it re-evaluated, and by whom?
- **Scope** - This section summarizes the resource groups (e.g., units, departments, external parties) for which the institution takes responsibility. It may also prioritize these according to institutional importance.
- **Selection Criteria** - This section outlines how decisions are made regarding what will be preserved. It may include factors by which selection decisions are made (e.g., the importance of an object/publication to user communities, quality of the object/publication, uniqueness of the object/publication, risks to the object/publication, etc.).
- **Strategies** - This section tends to contain high-level details regarding the curation and management practices of the institution. It may briefly describe things such as metadata creation, storage, refreshing, monitoring, security, redundancy, migration, emulation, access, integration with other units, interaction with third-party agents.
- **Operating Principles** - This section may refer to methodologies and philosophies guiding preservation activities at the institution (e.g., OAIS).
- **Roles and Responsibilities** - This section describes who is involved (in terms of roles, not specific individuals) in what preservation responsibilities and tasks.
- **Metadata** - This section describes policy/policies for ascribing metadata to published digital objects. May include schema references.
- **Permissions/Access** - This section documents policies around who can access preserved copies of content and under what circumstances.
- **Economics/Sustainability** - This section documents expected costs associated with preservation and who shoulders the responsibility for those costs.

- **Challenges** - This section acknowledges the challenges the institution/field faces in preserving digital content.
- **Date/Authors** - This section documents the last revision date and provides contact information for the authors.
- **Related Documents** - This section lists other institutional documentation that has a relationship to this digital preservation policy.
- **Definitions/Glossary** - This section clarifies terms used in the policy that non-specialists may not know.

This is just a representative sample of the categories of information we have found in numerous preservation policy documents created by libraries, archives, and museums. Individual programs may use some of these categories and leave out others at will; likewise, individual programs may find additional categories to be of use.

Who is Your Audience?

A digital preservation policy is only viable if it is visible and used. You will want to consider how public to make your policy (many libraries and commercial publishers currently post their policies online) and how to ensure that authors, readers, and other stakeholders have access to the policy in addition to your own staff. Audiences to consider as you write and post your policy include:

- Your department/unit (so that as staff change and as your work develops, you maintain clarity and consistency in your preservation attention)
- Your authors (so that they know what they can/cannot expect you to do on their behalf)
- Your readers (so that they know the level of permanence they can expect from your imprint)
- Your administration (so that they understand the responsibilities you are undertaking)
- Your funders (particularly federal funders will want to know about the longevity of publications that they have funded)
- Your partners (so they know what they are expected to deliver in terms of service)

Think About It (Review Preservation Policies)

Using the US Library Preservation Policy Examples in the Appendix B, select five policies to review. Based on the examples, examine the following:

- Which sections do you think are the most important to include?
- Which institution seems to have the strongest policy? Why? Which one felt the weakest? Why?
- What elements do you think are most relevant to a library publisher's documentation needs?

Appendix A

Model Publishing Agreements

IOPN Master Service Agreement: Support for Journals

This document represents a Master Service Agreement (“MSA”) between the Board of Trustees of the University of Illinois on behalf of its Illinois Open Publishing Network (“IOPN”) and [OTHER PARTY] Journal (“Partner”) for the provision of services to support and sustain an IOPN supported online journal. This MSA remains valid until superseded by a revised agreement mutually endorsed by the stakeholders. Incremental changes will be recorded in an Amendments section of this Agreement and are effective upon mutual endorsement by the primary stakeholders.

Section 1: Definition of Terms

- 1.1** “Commencement Date” means the date that IOPN will start development on the Service.
- 1.2** “Configuration” means any method by which the Open Journal Systems application is changed from its default installation state.
- 1.3** “Content” means the information, digital files, and all other forms of digital media uploaded into the Software by the Partner.
- 1.4** “Install” means one unique, customizable instance within the Software system.
- 1.5** “Journal” means a section of OJS over which the Partner has limited control of appearance, branding, access permission, and content.
- 1.6** “Launch Date” means the date that the Service will be available to the Partner, as set forth in the proposal or such other written notice from IOPN to Partner. Notwithstanding anything in this Agreement or any Partner Order to the contrary, no Partner-requested date for delivery of Service will be effective unless and until confirmed in writing by IOPN.
- 1.7** “Migration” means a transfer of content by IOPN or Partner from a specified location, whether digital or analog into the new application, but content will only be moved as defined by an Amendment.
- 1.8** “Open Access” means free, immediate access to online published digital content using IOPN Software and Services.
- 1.9** “Patches” means any incremental software fixes released by the software author.
- 1.10** “Reporting” means text status updates from IOPN to the Partner concerning actions that have been performed on the Service.
- 1.11** “Server” means the hardware, virtual machine(s), and/or the file systems on which the Software install has occurred.
- 1.12** “Service” means the offering IOPN provides as a whole, not restricted to OJS install and maintenance. Please see Section 2 for a full definition.

- 1.13** The “Software” is a suite of web applications installed by IOPN and utilized by the Partner to distribute academic content via the internet as enumerated in Appendix A, attached hereto and incorporated herein. The Software shall include Open Journal Systems or “OJS” and other applications as listed in Appendix A.
- 1.14** “Upgrades” means the install of any new version of the Software or the installation of any new version of a requested plug-in or operant extension (see Section 3.3).
- 1.15** “User” means any person who is given access to the Software.
- 1.16** “Workflow” means the manner in which the pieces of the Open Journal Systems application work. This encompasses authority, submission management, article review, acceptance, and publication.

Section 2: Definition of Service:

IOPN defines its offering as:

- 2.1** Provision of web access to an existing install of Software.
- 2.2** Configuration of Software workflow.
- 2.3** Implementation of coloring on Software per Partner-provided palette and logo.
- 2.4** Creation and implementation of a single layout customization for the public-facing pages of the Software application.
- 2.5** Maintenance of the application and underlying systems.
- 2.6** Reporting concerning status of the system as a whole and actions taken upon said system.

Section 3: Description of Service:

The following details describe the responsibility of IOPN in the ongoing support of this Agreement:

- 3.1** Access to Software: IOPN will provide access and appropriate permissions to OJS and other Software as necessary to support Partner’s Journal. Any default Service setting decisions will be changed as required to fulfill the workflow needs of the Partner. Any application setting decisions that require Partner feedback will be done in tandem with the Partner and be defined prior to the launch, via discussion meetings.
- 3.2** Hosting of Software: Partner will have access to 10 gigabytes of storage space with an expectation of maximum of 10,000 visits per month. If Partner exceeds this capacity, an Amendment is required.
 - 3.2.1** The server on which the installation resides will have an initial cap of 60 MB per file for upload via the Software. Any exceptions to this cap must be addressed in an amendment to the MSA.
- 3.3** Maintenance of Software: IOPN will keep the Software up to date with patches, installing required patches within 30 business days of distribution. IOPN will also ensure any upgrades required to Software are performed in a timely fashion, and will initiate any patches or upgrades to the server platform on which the Software lives. IOPN will also ensure that valid backups are performed on a regular basis. IOPN will also ensure that the

layout configuration continues to adhere to any new iterations of World Wide Web Consortium (W3C) best practices.

- 3.4** Reporting on maintenance of Software: On a quarterly basis IOPN will deliver status reports describing what has been done for maintenance.

Section 4: Partner Requirements

The following detailed responsibilities and/or requirements in support of this Agreement are the responsibility of the Partner in the ongoing support of this Agreement:

- 4.1** Partner is responsible for having an authoritative representative attend discussion meetings to define requirements of workflow prior to Commencement Date.
- 4.2** Partner hold complete responsibility for assignation of Software registration IDs to appropriate participants within and without Partner's organization. These are specifically used to associate participants with Journal roles (Authors, Editors, etc.).
- 4.3** Partner holds responsibility to provide IOPN with a color palette and logo within one week of Commencement Date.
- 4.4** Partner and IOPN share responsibility for setting up any web statistics or metrics system they so choose. If the Partner has no preferred web metrics system, Partner will be provided access to Google Analytics.
- 4.5** Partner holds complete responsibility for repairing any errors that come about as a result of expanding or customizing the Software beyond that which has been delivered by IOPN at Launch Date.
- 4.6** Partner holds complete responsibility for migration of content from existing site to new site unless migration service is requested and quote for this service approved. Should this service be requested, these costs will be detailed and documents in an Amendment to this agreement.
- 4.7** Ownership: The Partner represents and warrants that: (a) it is the owner of the Journal; (b) and has received, via license(s) or assignment(s), all necessary rights to the content and the electronic files necessary to reproduce, distribute, publish and otherwise transmit the content and electronic files to IOPN, (c) the content and electronic files do not contain any libelous or unlawful materials; instructions that may cause harm or injury; material that infringes upon or violates the copyright, trademark, or other property right of another; or any material that infringes upon the privacy rights of another person or entity; (d) Partner has the right to grant the rights in the content and electronic files to IOPN in accordance with the terms of this Agreement.
- 4.8** Editorial Control: The Partner exercises all editorial control over the contents of the Journal, with IOPN acting as requested by Partner in an advisory-only capacity with respect to the editing of the Journal.

Section 5: General Terms of Service

- 5.1** Communications: In order to speed service, communications from Partner to IOPN via email should have [Name of Journal] in brackets in the subject line. IOPN will communicate with the Partner via email and additional methods of communication may be requested.

- 5.2** Bug fixes: IOPN is reasonably responsible to address in good faith any bugs that arise or are discovered from the standard use of the Service or any IOPN-managed patches, standards changes, or upgrades. Partner is responsible for any bugs that occur during their own efforts at customization.
- 5.3** Unrecoverable configuration: Should the Partner be unable to correct bugs created by their own efforts at customization, IOPN will roll back the site to its original configuration settings.
- 5.4** Expansion or reduction of service: Partner can request a service expansion at any time with the understanding that a service expansion will render the original agreed upon Launch Date invalid. If a service expansion is desired, IOPN will respond with new projected timelines for Commencement Date and Launch Date, and if this is agreeable to all parties, an Amendment will be created or, if necessary, a new MSA will be composed.
- 5.5** Transfer of Stakeholding: Either the Partner or IOPN may change their designated stakeholders at any time. Notification should be given 10 business days prior to the stakeholder transfer, and an Amendment attached to the MSA.
- 5.6** Force Majeure: Both parties acknowledge the possibility of failure of performance or equipment due to causes beyond such party's reasonable control ("force majeure event"). In the event IOPN is unable to deliver Service as a result of a force majeure event, Partner shall be notified within 24 hours of discovery, and all effort will be expended to repair the issue.
- 5.7** University of Illinois Terms of Use: IOPN offers its Service under the auspices of the Policy on Appropriate Use of Computers and Network Systems at the [University of Illinois at Urbana-Champaign](#), the [Electronic Information Policy for Library Users](#) and the University policy on the [Use of University Name, Image or Logos](#). IOPN does not bear responsibility for any action that is taken as required by the Policy on Appropriate Use.
- 5.8** IOPN is committed to maintaining Open Access journals. Therefore, no fee can or will be imposed to those accessing Partner's journal that is published in collaboration with IOPN.
- 5.9** Grant of Rights to IOPN: Partner hereby grants to IOPN the non-exclusive right to reproduce, transmit, and distribute the content of the Journal. Partner further grants IOPN the right to reproduce the content of the Journal to any medium or format necessary for the purpose of preservation or distribution. IOPN shall not have the right to sell the Journal content or to sell access to the Journal content. The Partner or authors shall retain all rights in the content of the Journal which are not expressly granted herein.

Section 6: Duration of Service

The initial phase of Service (Install and Access) will take no longer than 30 business days from delivery of Partner requirements 4.2, 4.4, and 4.5. If all requirements are fulfilled prior to Commencement Date, timeframe between Commencement Date and Launch Date is shorter.

The latter phase of the Service (Hosting, Maintenance, and Reporting) will continue until mutually agreed otherwise. If a Service expansion changes a free service into a chargeable service, Maintenance

at the higher Service level will be included for a year. After a year, Maintenance will change to the highest free level, until otherwise negotiated.

Section 7: Terms of Termination

Should Partner wish to terminate the Service, IOPN requests a minimum 30 business days' notice via email. IOPN will transfer Journal content to whomever the Partner designates.

Should IOPN need to terminate its support of the Service, they will provide no less than 120 business days' notice via email. Staff will be on hand for the duration of that time period to facilitate handoff and deliver training to any members of the Partner's organization.

Section 8: Limitation of Liability and Indemnification

8.1 Limitation of Liability. IN NO EVENT SHALL THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ILLINOIS OR ITS AFFILIATES, INCLUDING IOPN, ITS INDIVIDUAL TRUSTEES, DIRECTORS, OFFICERS, FACULTY, STAFF, EMPLOYEES, OR AGENTS BE LIABLE FOR ANY INDIRECT, SPECIAL, INCIDENTAL, OR CONSEQUENTIAL DAMAGES OR LOSS PROFITS TO PARTNER.

8.2 Indemnification. Partner agrees to indemnify and hold harmless IOPN and the Board of Trustees of the University of Illinois and its employees, officers, trustees, and agents against any and all liability arising out of the Partner's breach of the representations and warranties set forth in this Agreement, including, but not limited to, the cost of any claim, demand, judgment, or settlement and related expenses and attorney's fees. IOPN will give prompt notice to Partner if any claim or demand is made and the Partner will cooperate with IOPN, who will direct the defense thereof.

Section 9: Stakeholders

Stakeholders will be considered primary points of contact between IOPN and Partner. While direct communication will go on between other participants in the project, Service-level conversations must include and be signed off by stakeholders as designated.

University of Illinois	[JOURNAL NAME]
Illinois Open Publishing Network	[CONTACT NAME]
306 Library, MC 522	[ADDRESS 1]
1408 West Gregory Drive	[ADDRESS 2]
Urbana, IL 61801	[CITY, STATE, ZIP]
Tel.: (217) 333-4942	Tel.: [PHONE #]
Email: pww-admin@library.illinois.edu	Email: [EMAIL ADDRESS]
	Journal EIC

Section 10: Choice of Law and Jurisdiction

This Agreement shall be interpreted by application of Illinois law without regard to its conflicts provisions. To the extent of any litigated dispute, the parties agree that all proceedings or actions arising out of or in connection with this Agreement shall be litigated in courts located within the State of Illinois.

Section 11: Equal Opportunity.

This Agreement incorporates the Equal Employment Opportunity Clause at Section 750.10, Appendix A of the Illinois Department of Human Rights Rules.

Section 12: Counterparts/Facsimile Signatures.

This Agreement may be signed in counterparts. Facsimile signatures constitute original signatures for all purposes.

Section 13: Authorized Signatories.

The individuals signing this Agreement on a party's behalf represent that they have the requisite authority to bind that party to this Agreement.

THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF ILLINOIS

By: Avijit Ghosh, Interim Comptroller

Name: _____

Title: _____

Date: _____

Date: _____

APPENDIX A

Applications offered by IOPN include:

- Open Journal Systems
- Omeka-s
- Scalar
- Pressbooks
- Commons in a Box
- CommentPress

MOU for Intra-University Journal Support (IOPN, University of Illinois Library)

This document represents a Memorandum of Understanding ("MOU") between the University Library on behalf of its Illinois Open Publishing Network ("IOPN") and [OTHER PARTY] Journal ("Partner") for the provision of services to support and sustain an IOPN supported online journal or formatted publication. This MOU remains valid until superseded by a revised agreement mutually endorsed by the stakeholders. Incremental changes will be recorded in an Amendments section of this Agreement and are effective upon mutual endorsement by the primary stakeholders.

Section 1: Definition of Terms

- 1.17** "Commencement Date" means the date that IOPN will start development on the Service.
- 1.18** "Configuration" means any method by which the [NAME OF PRIMARY APPLICATION] application is changed from its default installation state.
- 1.19** "Content" means the information, digital files, and all other forms of digital media uploaded into the Software by the Partner.

- 1.20** “Install” means one unique, customizable instance within the Software system.
- 1.21** “Journal” means a section of [NAME OF PRIMARY APPLICATION] over which the Partner has limited control of appearance, branding, access permission, and content.
- 1.22** “Launch Date” means the date that the Service will be available to the Partner, as set forth in the proposal or such other written notice from IOPN to Partner. Notwithstanding anything in this Agreement or any Partner Order to the contrary, no Partner-requested date for delivery of Service will be effective unless and until confirmed in writing by IOPN.
- 1.23** “Migration” means a transfer of content by IOPN or Partner from a specified location, whether digital or analog into the new application, but content will only be moved as defined by an Amendment.
- 1.24** “Open Access” means free, immediate access to online published digital content using IOPN Software and Services.
- 1.25** “Patches” means any incremental software fixes released by the software author.
- 1.26** “Reporting” means text status updates from IOPN to the Partner concerning actions that have been performed on the Service.
- 1.27** “Server” means the hardware, virtual machine(s), and/or the file systems on which the Software install has occurred.
- 1.28** “Service” means the offering IOPN provides as a whole, not restricted to OJS install and maintenance. Please see section 2 for a full definition.
- 1.29** The “Software” is a suite of web applications installed by IOPN and utilized by the Partner to distribute academic content via the internet as enumerated in Appendix A, attached hereto and incorporated herein. The Software shall include [NAME OF PRIMARY APPLICATION] and other applications as listed in Appendix A.
- 1.30** “Upgrades” means the install of any new version of the Software or the installation of any new version of a requested plug-in or operant extension (see Section 3.3).
- 1.31** “User” means any person who is given access to the Software.
- 1.32** “Workflow” means the manner in which the pieces of the [NAME OF PRIMARY APPLICATION] application work. This encompasses authority, submission management, article review, acceptance, and publication.

Section 2: Definition of Service:

IOPN defines its offering as:

- 2.7** Provision of web access to an existing install of Software.
- 2.8** Configuration of Software workflow.
- 2.9** Implementation of coloring on Software per Partner-provided palette and logo.
- 2.10** Creation and implementation of a single layout customization for the public-facing pages of the Software application.
- 2.11** Maintenance of the application and underlying systems.

- 2.12** Reporting concerning status of the system as a whole and actions taken upon said system.

Section 3: Description of Service:

The following details describe the responsibility of IOPN in the ongoing support of this Agreement:

- 3.5** Access to Software: IOPN will provide access and appropriate permissions to [NAME OF PRIMARY SYSTEM OR APPLICATION] and other Software as necessary to support Partner's Journal. Any default Service setting decisions will be changed as required to fulfill the workflow needs of the Partner. Any application setting decisions that require Partner feedback will be done in tandem with the Partner and be defined prior to the launch, via discussion meetings.
- 3.6** Hosting of Software: Partner will have access to 10 gigabytes of storage space with an expectation of maximum of 10,000 visits per month. If Partner exceeds this capacity, an Amendment is required.
- 3.7.2** The server on which the installation resides will have an initial cap of 60 MB per file for upload via the Software. Any exceptions to this cap must be addressed in an amendment to the MSA.
- 3.8** Maintenance of Software: IOPN will keep the Software up to date with patches, installing required patches within 30 business days of distribution. IOPN will also ensure any upgrades required to Software are performed in a timely fashion, and will initiate any patches or upgrades to the server platform on which the Software lives. IOPN will also ensure that valid backups are performed on a regular basis. IOPN will also ensure that the layout configuration continues to adhere to any new iterations of World Wide Web Consortium (W3C) best practices.
- 3.9** Reporting on maintenance of Software: On a quarterly basis IOPN will deliver status reports describing what has been done for maintenance.

Section 4: Partner Requirements

The following detailed responsibilities and/or requirements in support of this Agreement are the responsibility of the Partner in the ongoing support of this Agreement:

- 4.9** Partner is responsible for having an authoritative representative attend discussion meetings to define requirements of workflow prior to Commencement Date.
- 4.10** Partner hold complete responsibility for assignation of Software registration IDs to appropriate participants within and without Partner's organization. These are specifically used to associate participants with Journal roles (Authors, Editors, etc.).
- 4.11** Partner holds responsibility to provide IOPN with a color palette and logo within one week of Commencement Date.
- 4.12** Partner and IOPN share responsibility for setting up any web statistics or metrics system they so choose. If the Partner has no preferred metric system, Partner will be provided access to Google Analytics.
- 4.13** Partner holds complete responsibility for repairing any errors that come about as a result of expanding or customizing the Software beyond that which has been delivered by IOPN at Launch Date.

- 4.14** Partner holds complete responsibility for migration of content from existing site to new site unless migration service is requested and quote for this service approved. Should this service be requested, these costs will be detailed and documents in an Amendment to this agreement.
- 4.15** Ownership: The Partner represents and warrants that it is the owner of the Journal and has received, via license(s) or assignment(s), all necessary rights to the content and the electronic files necessary to reproduce, distribute, publish and otherwise transmit the content and electronic files to IOPN, and to grant the same rights in the content and electronic files to IOPN.
- 4.16** Editorial Control: The Partner exercises all editorial control over the contents of the Journal, with IOPN acting as requested by Partner in an advisory-only capacity with respect to the editing of the Journal.

Section 5: General Terms of Service

- 5.10** Communications: In order to speed service, communications from Partner to IOPN via email should have [Name of Journal] in brackets in the subject line. IOPN will communicate with the Partner via email and additional methods of communication may be requested.
- 5.11** Bug fixes: IOPN is responsible for any bugs that arise or are discovered from the standard use of the Service or any IOPN-managed patches, standards changes, or upgrades. Partner is responsible for any bugs that occur during their own efforts at customization.
- 5.12** Unrecoverable configuration: Should the Partner be unable to correct bugs created by their own efforts at customization, IOPN will roll back the site to its original configuration settings.
- 5.13** Expansion or Reduction of Service: Partner can request a service expansion at any time with the understanding that a service expansion will render the original agreed upon Launch Date invalid. If a service expansion is desired, IOPN will respond with new projected timelines for Commencement Date and Launch Date, and if this is agreeable to all parties, an Amendment will be created or, if necessary, a new MOU will be composed.
- 5.14** Transfer of Stakeholding: Either the Partner or IOPN may change their designated stakeholders at any time. Notification should be given 10 business days prior to the stakeholder transfer, and an Amendment attached to the MOU.
- 5.15** Force Majeure: Both parties acknowledge the possibility of failure of performance or equipment due to causes beyond such party's reasonable control ("force majeure event"). In the event IOPN is unable to deliver Service as a result of a force majeure event, Partner shall be notified within 24 hours of discovery, and all effort will be expended to repair the issue.
- 5.16** University of Illinois Terms of Use: IOPN offers its Service under the auspices of the Policy on Appropriate Use of Computers and Network Systems at the [University of Illinois at Urbana-Champaign](#) and the [Electronic Information Policy for Library Users](#). IOPN does not bear responsibility for any action that is taken as required by the Policy on Appropriate Use.

- 5.17** IOPN is committed to maintaining Open Access journals. Therefore, no fee can or will be imposed to those accessing Partner’s journal that is published in collaboration with IOPN.
- 5.18** Grant of Rights to IOPN: Partner hereby grants to IOPN the non-exclusive right to reproduce, transmit, and distribute the content of the Journal. Partner further grants IOPN the right to reproduce the content of the Journal to any medium or format necessary for the purpose of preservation or distribution. IOPN shall not have the right to sell the Journal content or to sell access to the Journal content. The Partner or authors shall retain all rights in the content of the Journal which are not expressly granted herein.

Section 6: Duration of Service

The initial phase of Service (Install and Access) will take no longer than 30 business days from delivery of Partner requirements 4.2, 4.4, and 4.5. If all requirements are fulfilled prior to Commencement Date, timeframe between Commencement Date and Launch Date is shorter.

The latter phase of the Service (Hosting, Maintenance, and Reporting) will continue until mutually agreed otherwise. If a Service expansion changes a free service into a chargeable service, Maintenance at the higher Service level will be included for a year. After a year, Maintenance will change to the highest free level, until otherwise negotiated.

Section 7: Terms of Termination

Should Partner wish to terminate the Service, IOPN requests a minimum 30 business days’ notice via email. IOPN will transfer Journal content to whomever the Partner designates.

Should IOPN need to terminate its support of the Service, they will provide no less than 120 business days’ notice via email. Staff will be on hand for the duration of that time period to facilitate handoff and deliver training to any members of the Partner’s organization.

Section 8: Stakeholders

Stakeholders will be considered primary points of contact between IOPN and Partner. While direct communication will go on between other participants in the project, Service-level conversations must include and be signed off by stakeholders as designated.

University of Illinois	[JOURNAL NAME]
Harriett Green, Illinois Open Publishing Network	[CONTACT NAME]
225 Library	[ADDRESS 1]
1408 West Gregory Drive	[ADDRESS 2]
Urbana, IL 61801	[CITY, STATE, ZIP]
Tel.: (217) 333-4942	Tel.: [PHONE #]
Email: green19@illinois.edu	Email: [EMAIL ADDRESS]
	Journal EIC

Section 9: Choice of Law

This Agreement shall be interpreted by application of Illinois law without regard to its conflicts provisions.

Section 10: Equal Opportunity

This Agreement incorporates the Equal Employment Opportunity Clause at Section 750.10, Appendix A of the Illinois Department of Human Rights Rules.

Section 11: Counterparts/Facsimile Signatures

This Agreement may be signed in counterparts. Facsimile signatures constitute original signatures for all purposes.

Section 12: Authorized Signatories

The individuals signing this Agreement on a party's behalf represent that they have the requisite authority to bind that party to this Agreement.

APPENDIX A

Applications offered by IOPN include:

- Open Journal Systems
- Omeka-s
- Scalar
- Pressbooks
- Commons in a Box
- CommentPress

IOPN Publishing Agreement: Monographs and Digital Publications

THIS AGREEMENT ("Agreement") is made as of the date of the final, executing signature by and between [AUTHOR NAME] ("Corresponding Author"), who is acting on behalf of all Authors ("Authors") of the Work, and the Board of Trustees of the University of Illinois on behalf of University Library's Illinois Open Publishing Network, 1408 W. Gregory Drive, Urbana, IL 61801 ("IOPN") (individually "party" or collectively "parties") for the publication of a work of scholarship ("Work") now tentatively entitled: *[TITLE OF WORK]*.

The parties agree as follows:

Section 1: Definition of Terms

The Author and IOPN agree on the following definitions or terms as used herein:

- 1.33** "Author" means the primary author, any coauthors, the editor, or any coeditors of the Work subject to this Agreement;
- 1.34** "Corresponding Author" means the Author who is acting on behalf of all Authors of the Work and is the signatory to this Agreement in accordance with section 5.8 below.
- 1.35** "IOPN" means the University of Illinois at Urbana-Champaign Library's Open Publishing Network, including its successors, representatives, and employees.
- 1.36** "Work" means all text; source material; illustrative reproductions used in the final preparation of the Work; permissions, consents, or licenses; master recordings; and/or any other material necessary for the publication of the Work.
- 1.37** In correspondence beyond this contract, the Work may be referred to as "book," "monograph," "project," or other term clearly defining the Work.

Section 2: Conditions of Publication

- 2.1** The Corresponding Author grants to IOPN the non-exclusive, perpetual right to publish the Work under IOPN's name and other imprints or tradenames electronically in the English language throughout the world.

- 2.2** The Corresponding Author hereby authorizes IOPN to release the Work under the following license to the general public, where the applicable license and other information about the licenses can be found [here](#):

- ☐ Creative Commons – Attribution (CC-BY)
- ☐ CC-BY-NC
- ☐ CC-BY-ND
- ☐ CC-BY-NC-ND

- 2.3** IOPN shall clearly mark the Work as distributed under the Agreement following the requirements under the applicable Corresponding Author-authorized Creative Commons license as set forth [here](#).

- 2.4** In any further electronic distributions of the Work, Author will link to the Work on IOPN as part of the attribution.

Section 3: Copyright of Work

- 3.1** The Author retains any copyright Author may already possess in the Work.

Section 4: Author Warranties and Indemnities

The following detailed responsibilities and/or requirements in support of this Agreement are the responsibility of the Author in the ongoing support of this Agreement:

- 4.1** The Corresponding Author warrants that he or she has full power to enter into this Agreement and to grant the rights granted herein.
- 4.2** The Corresponding Author warrants that the Work to be furnished hereunder shall be submitted in a form complete and ready for publication.
- 4.3** The Corresponding Author warrants that he or she is the sole owner of the Work or has obtained the necessary permissions, rights, licenses, releases, or consents to any portion of the Work not owned by him or her; has paid or will pay, at the time payment is due, any necessary fees, including those that may be required for the right to publish, quote from, or reproduce such portions in all markets, domestic and foreign; and has turned over, or will turn over, at or prior to the time of delivery of the final manuscript to IOPN, written permission from each proprietor or copyright owner for the use of such material.
- 4.4** The Corresponding Author warrants that he or she has the full authority to make this Agreement, and if the work was prepared jointly or with contributing Authors, the Corresponding Author agrees to inform the Authors of the terms of this Agreement and to obtain written permission from each Author publish their work. Each co-Author will sign and return the Publishing Agreement Addendum for Co-Authors to the Corresponding Author in order to complete the execution of this Agreement. The Corresponding Author agrees to hold IOPN harmless from any breach of the representations made in this provision, 5.8.
- 4.5** The Corresponding Author represents and warrants that statements in the Work asserted as fact are true or based upon generally accepted professional research practices and that the Work contains no libelous or unlawful material; instructions that may cause harm or injury; material that infringes upon or violates the copyright, trademark, trade secret, or

other property right of another; or any material that infringes upon the privacy rights of another person or entity.

- 4.6** THE CORRESPONDING AUTHOR AGREES TO INDEMNIFY AND HOLD HARMLESS IOPN AGAINST ANY AND ALL LIABILITY ARISING OUT OF THE AUTHOR'S BREACH OF THE WARRANTIES SET FORTH IN THIS AGREEMENT, INCLUDING, BUT NOT LIMITED TO, THE COST OF ANY CLAIM, DEMAND, JUDGMENT, OR SETTLEMENT AND RELATED EXPENSES AND ATTORNEY'S FEES. EACH PARTY WILL GIVE PROMPT NOTICE TO THE OTHER IF ANY CLAIM OR DEMAND IS MADE AND THE AUTHOR WILL COOPERATE WITH IOPN, WHO WILL DIRECT THE DEFENSE THEREOF.
- 4.7** If the Work is a collection of contributions by several Authors, the Corresponding Author will not include in the Work any contribution or material written or illustrated by others that the Corresponding Author believes or has reason to know or suspect may not be original or may contain libelous or unlawful statements or instructions that may cause harm or injury or that infringes upon or violates any copyright, trademark, or other right or the privacy of others, and the Corresponding Author shall exercise due care in selecting contributors and reviewing contributions to minimize the risks of such infringements, instructions, and harms.
- 4.8** In no event will IOPN be obligated to publish the Work if in IOPN's sole opinion it violates the rights or privacy of any person or entity, or contains libelous material, or any matter that IOPN deems may subject it to any claims from any third party, failure to meet mutually agreed upon deadlines, or to comply with this Agreement. In the event IOPN elects not to publish the Work for any reasons set forth in this Agreement, it will give written notice to the Author, and this Agreement will terminate.
- 4.9** The Corresponding Author agrees to notify IOPN of any changes that will affect IOPN's ability to fulfill the terms and intent of this Agreement.
- 4.10** If IOPN has assigned an ISBN for an edition in electronic format and the Author sells an edition using this ISBN without the involvement of IOPN, whether through IOPN or another third party, the Author agrees to keep IOPN informed of the product in order to maintain product data associated with the ISBN.
- 4.11** This Section 4 shall survive the termination of this Agreement.

Section 5: Delivery and Preparation of the Work, Copyediting, and Page Proofs

- 5.1** The Corresponding Author agrees to cooperate with IOPN to expedite the production and publication of the Work in accordance with the terms of this Agreement.
- 5.2** The Corresponding Author will work with IOPN to prepare the Work per a mutually agreed, written timeline between the Corresponding Author and IOPN ("Development Timeline"). Corresponding Author will deliver a final electronic version of the Work on or before the date indicated for final delivery in the Development Timeline.
- 5.3** Unless other mutually agreed upon arrangements are made, the Corresponding Author will deliver to IOPN an electronic copy of the manuscript in a format acceptable to IOPN, at IOPN's sole determination. The manuscript shall be formatted according to the Author Guidelines that IOPN has made available to the Corresponding Author. The manuscript shall be complete and accompanied by all necessary materials, including but not limited to photographs, maps, charts, or other illustrations and any permissions

necessary for reproduction. Illustrations must be submitted in final form, ready for reproduction. Images and other non-textual work must conform to the quality guidelines set forth in the [Author Guidelines](#).

- 5.4** IOPN is authorized to edit the Work to create an edited version (“Edited Work”) provided that such edits do not materially change the meaning or substance of the Work. In creating the Edited Work, IOPN will conform to its own house style or any style that it believes suitable in editing or printing the Work, unless the Corresponding Author and IOPN agree in writing in advance to a special arrangement as to style. The Corresponding Author will provide additional information and descriptions as reasonably requested by IOPN during creation of the Edited Work to correct possible errors, create metadata, or to make the Work accessible to those needing special accommodations. IOPN will make no claim of ownership in Work as a result of IOPN edits of Work as permitted under this Agreement.
- 5.5** IOPN will provide a review copy of the Edited Work to the Corresponding Author as set forth in the Development Timeline for a 15 day period, or for a longer period of time as set forth in the Development Timeline if permitted in writing by IOPN (“Review Period”). The Corresponding Author may provide comments or request additional modifications to Edited Work during the Review Period, and understands that the Review Period is the Corresponding Author’s last opportunity to request substantive modifications to the Work. If the Corresponding Author requests substantial modifications unrelated to IOPN edits, IOPN may choose to modify the Development Timeline or delay publication. If the Corresponding Author fails to provide feedback during the Review Period, IOPN may interpret such failure as approval of the Edited Work and proceed towards publication or modify the Development Timeline and suspend the publication of the Work until Corresponding Author provides feedback.
- 5.6** After the Review Period and any subsequent modifications have been incorporated, IOPN will send the Corresponding Author page proofs with instructions on how to proofread the Work and will check all of the Corresponding Author’s corrections to said page proofs. Errors made by IOPN or by others involved in the preparation of the page proofs will be corrected without expense to the Corresponding Author. No substantive changes made or suggested by the Corresponding Author, other than those due to IOPN error, will be made to the page proofs.
- 5.7** The Corresponding Author will correct proofs and return such corrected proofs to IOPN within fifteen days of receipt by the Corresponding Author or as set forth in the Development Timeline (unless additional time is requested and permitted in writing by IOPN). After incorporating any corrections indicated in the proofs, or if proofs are not returned by the Corresponding Author within the period set forth in this Section 5.7, IOPN may proceed with publication of the Work with no further Corresponding Author review.
- 5.8** If the Work is a collection of contributions by several Authors, the Corresponding Author will be responsible for distributing Edited Work or proofs to the Authors and forwarding suggested changes back to IOPN. The Corresponding Author and IOPN will mutually make a final determination regarding changes, even if all Authors are not in consensus regarding the changes (that is, the Corresponding Author has final say in approving changes on behalf of all Authors), or where IOPN disagrees with such proposed changes.

- 5.9** The Corresponding Author grants IOPN the right to utilize digital rights management (“DRM”) technology for the published Work, with it being IOPN’s exclusive right to determine whether or not to utilize DRM.
- 5.10** Preservation: IOPN will facilitate preservation of the intellectual content of the Work by committing to preserve a usable version of all IOPN projects in the University of Illinois Library’s repository systems for long-term digital preservation, which currently include IDEALS (<https://www.ideals.illinois.edu/>) and the Illinois Data Bank (<https://databank.illinois.edu/>). For projects with highly customized interactive presentations, the preservation strategy may include a combination of approaches to insure that future users, in a different computing environment, will still have the necessary source material to recreate the full interactive expression of the content. The full Preservation statement for IOPN will be provided to the Author and is accessible and available [here](#).
- 5.11** IOPN will provide an electronic copy of the published version of the Work to the Author, which may be deposited in the institution’s repository. For Authors with no academic affiliation, IOPN will deposit an electronic copy of the Work in IDEALS, the University of Illinois Library’s institutional repository, to facilitate preservation.

Section 6: Publicity and Marketing

- 6.1** Marketing is a joint responsibility, and Author agrees to be a full partner with Publisher in promoting her/his work. The purpose of marketing is increasing visibility and, if applicable, sales. For the purpose of promoting the Author, IOPN, and the Work, the Corresponding Author grants to IOPN the irrevocable non-exclusive worldwide rights and perpetual license to display, exhibit, reproduce, digitize, modify, license, and otherwise use materials created by IOPN or on IOPN’s behalf for the Work that incorporate any of the following, in any format now or hereafter known (including print, audio, video, electronic, and digital) and in all media now or hereafter devised (including all digital, audio, video, and print media):
- i. Information regarding the Work, including the title of the Work, the description of the Work, excerpts and images from the Work (at a length and in a duration and manner to be determined, in IOPN’s sole discretion), and other information regarding the Work.
- 6.2** The Author grants IOPN the right to use Author’s name, likeness and biographical information in association with IOPN’s activities undertaken in connection with this Agreement, including the promotion, advertising, sales, and licensing of the Work.

Section 7: IOPN's Limitation of Liability for Loss or Damage

- 7.1** IOPN shall take the same care of the property in its hands under this Agreement as it does of its own property but shall not be responsible to the Author for loss of or damage to the Author's property that is in its possession, in the possession of its independent contractors, or in the possession of anyone else to whom delivery is made by IOPN in the normal course of its operations unless it receives a written request to keep the same insured at a specified value, at the Corresponding Author's expense. The Corresponding Author should keep copies or backups of all manuscripts and other material included in the Work.

- 7.2** IN NO EVENT SHALL THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ILLINOIS OR ITS AFFILIATES, INCLUDING IOPN, ITS INDIVIDUAL TRUSTEES, DIRECTORS, OFFICERS, FACULTY, STAFF, EMPLOYEES, OR AGENTS BE LIABLE FOR ANY INDIRECT, SPECIAL, INCIDENTAL, OR CONSEQUENTIAL DAMAGES OR LOSS PROFITS TO ANY AUTHOR, INCLUDING CORRESPONDING AUTHOR .

Section 8: Assignment

- 8.1** This Agreement shall inure to the benefit of and be binding upon the Author and his or her heirs, personal representatives, successors and assigns and upon the IOPN and its successors and assigns. Neither IOPN nor the Corresponding Author shall assign this Agreement without prior written consent of the other Party.

Section 9: General Terms of Service

- 9.1** *Communications:* In order to speed service, communications from Author to IOPN via email should have “[Name of Publication]” in brackets in the subject line. IOPN will communicate with the Corresponding Author via email. Additional methods of communication may be requested.
- 9.2** *Unrecoverable Configuration:* Should the Corresponding Author be unable to correct bugs created by their own efforts at customization, IOPN will roll back the site to its original configuration settings.
- 9.3** *Transfer of Stakeholding:* Either the Corresponding Author or IOPN may change their designated stakeholders at any time. Notification should be given no later than 10 business days prior to the stakeholder transfer, and an Amendment attached to the Agreement.
- 9.4** *Preservation:* The University of Illinois Library commits to preserving the intellectual content of IOPN projects in perpetuity, according to current digital preservation best practices.
- 9.5** *Force Majeure:* Both parties acknowledge the possibility of failure of performance or equipment due to causes beyond such party’s reasonable control (“Force Majeure Event”). In the event IOPN is unable to deliver Publication as a result of a Force Majeure Event, the Corresponding Author shall be notified within 24 hours of discovery, and all effort will be expended to repair the issue.
- 9.6** *University of Illinois Terms of Use:* IOPN offers a Publication under the auspices of the Policy on Appropriate Use of Computers and Network Systems at the [University of Illinois at Urbana-Champaign](#), and the [Policy on Use of University Name, Image, or Logos](#). IOPN does not bear responsibility for any action that is taken as required by the Appropriate Use policy.
- 9.7** No money shall be charged to the public for access to the resulting IOPN supported publication which is the subject of this Agreement.

Section 10: Terms of Termination

- 10.1** Termination for Convenience. Should IOPN wish to terminate its distribution of the Work or terminate this Agreement, they will provide no less than 60 business days’ notice to Corresponding Author via email. Should Corresponding Author wish to terminate this Agreement, Corresponding Author shall provide IOPN a minimum of 30 days written

notice via email, which termination shall be on behalf of each applicable Author. The right to terminate this Agreement shall only apply to prospective Works that have not already been submitted for publication under this Agreement, subject to the terms set forth in Section 10.2 below.

10.2 Termination for Breach. Each party has the right to terminate this Agreement in the event a party is in breach of this Agreement and does not cure any such breach within 30 days of written notice from the non-breaching party. Such termination shall be effective upon the date of written notice to the breaching party of its failure to timely cure the breach. In the event an Author(s) is in breach for submitting a Work that does not comply with the terms of this Agreement, including any Work that infringes the rights of third parties or otherwise violates an Author(s) warranties pursuant to Section 4 of this Agreement, IOPN has the right to take down and retract any such published Work or pursue other remedies as permitted by applicable law.

10.3 Effect of Termination. Except as provided in Section 10.2, the termination of this Agreement shall have no effect on Works that are already submitted for publication under this Agreement prior to the effective date of termination, and the rights and licenses granted under this Agreement by Authors, including the Corresponding Author, shall survive termination of this Agreement with respect to such Works. The following terms shall also survive any termination of this Agreement: _Section 7, Section 10, Section 11, and Section 13.

Section 11: Parties for Notice

IOPN STAKEHOLDER	CORRESPONDING AUTHOR STAKEHOLDER
Harriett Green	
University of Illinois Library 450Q Library, MC 522 1408 W. Gregory Drive Urbana, IL 61801	
Tel.: (217) 333-4942	Tel.:
Email: pww-admin@library.illinois.edu	Email:

11.1 The contact information below will be utilized for any communications affecting the obligations under this Agreement, or for notice as required under Agreement.

11.2 Each party must notify the other party if the party's Stakeholder contact information changes within 60 business days of such change.

Section 12: General Terms

12.1 *Amendments:* No amendment may be made to this Agreement unless made in writing and signed by authorized representatives of both parties.

- 12.2** **DISCLAIMER.** IOPN MAKES NO REPRESENTATIONS, AND DISCLAIMS ALL WARRANTIES, EXPRESSED OR IMPLIED, INCLUDING ANY WARRANTIES OF MERCHANTABILITY, FITNESS FOR A PARTICULAR PURPOSE AND NON-INFRINGEMENT, REGARDING ALL SERVICES, DELIVERABLES, GOODS, AND FACILITIES FURNISHED TO AUTHOR UNDER THIS AGREEMENT.
- 12.3** *Independent Contractor:* The parties are independent contractors with respect to each other. Nothing in this Agreement is intended to create any association, partnership, joint venture, or agency relationship between them.
- 12.4** *Use of Name:* No Author shall not use “Illinois Open Publishing Network,” “IOPN,” or University of Illinois name for any commercial purpose without IOPN or University of Illinois’ advance written consent. Author shall not use University of Illinois marks for any purpose without Illinois’ advance written consent.
- 12.5** *Severability:* If any provision of this Agreement is held by a court of competent jurisdiction to be unenforceable, the provision shall be severed from this Agreement so long as severance does not affect the enforceability or essential purpose of the remainder of the Agreement.
- 12.6** *Equal Opportunity:* This Agreement incorporates the Equal Employment Opportunity Clause at Section 750.10, Appendix A of the Illinois Department of Human Rights Rules.
- 12.7** *Non-Exclusivity:* This Agreement is non-exclusive. IOPN may perform the same or similar services for other authors.
- 12.8** *Counterparts/Facsimile Signatures:* This Agreement may be signed in counterparts. Facsimile signatures constitute original signatures for all purposes.
- 12.9** *Choice of Law and Jurisdiction:* This Agreement shall be interpreted by application of Illinois law without regard to its conflicts provisions. To the extent of any litigated dispute, the parties agree that all proceedings or actions arising out of or in connection with this Agreement shall be litigated in courts located within the State of Illinois
- 12.10** *Integration:* This Agreement with its attachments, amendments, and incorporated references constitutes the parties’ entire agreement regarding the subject matter.
- 12.11** *Authorized Signatories:* The individuals signing this Agreement on a party’s behalf represent that they have the requisite authority and intent to bind that party to this Agreement.

**THE BOARD OF TRUSTEES OF THE
UNIVERSITY OF ILLINOIS**

[CORRESPONDING AUTHOR]

By: _____
Avijit Ghosh, Interim Comptroller

By: _____

Name: _____

Date: _____

Date: _____

eScholarship Sample Author Agreement for Journals

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- 1.1** A non-exclusive, irrevocable, royalty-free right to publish, reproduce, publicly display, publicly perform and distribute the Work in perpetuity throughout the world in all means of expression by any method or media now known or hereafter developed; and
- 1.2** A non-exclusive, irrevocable, royalty-free right to license others, including databases or printing vendors, to do any or all of the above on a non-exclusive basis.

2. The Author warrants that:

- 2.1** The Author is the author of the Submission, or is authorized to act on behalf of the author(s) and copyright holder (if different from the author(s)), and has the power to convey the rights granted in this agreement.
- 2.2** If the Submission has multiple authors, the other authors are identified in the Submission, and the Author will inform the other authors of the terms of this agreement.
- 2.3** Any textual, graphic or multimedia material included in the Submission that is the intellectual property or work of another is identified and cited in the Submission.
- 2.4** If the Submission reproduces any material that is the intellectual property of another, the Author has received permission to publish that material in the Submission, or the material is being incorporated based on an informed, reasonable, and good faith application of [fair use](#).
- 2.5** The Submission is the original work of the Author(s). To the best of the Author's knowledge, it does not contain matter that is obscene, libelous, or defamatory; it does not knowingly violate another's right of privacy, right of publicity, or other legal right; does not contain false or misleading statements; and is otherwise not unlawful.
- 2.6** The Submission has not been previously published, and is not pending review elsewhere. If this is not the case, the Author will provide the Journal with information about the other locations where the Submission appears or is pending review. Prior distribution of a Submission does not mean a Submission will not be considered for publication; the Journal is primarily concerned with other appearances in similar publications.

- 2.7** If the Author is a student, the Author agrees to share their work and waive any privacy rights granted by [FERPA](#) or any other law, policy or regulation, with respect to the Submission, for the purpose of publication. If the Author has any student co-authors, the Author will obtain a signed copy of this agreement from those co-authors.
- 2.8** The Submission complies with all relevant Journal policies and submission guidelines provided on the Journal's website at the time of submission, including any policies on conflict of interest, informed consent, human and animal rights, or appropriate content.

3. Indemnification

The Author will indemnify and hold the Journal harmless against loss, damages, expenses, awards, and judgments arising from breach of any of the above warranties.

4. Author's Rights and Obligations

- 4.1** Nothing in this agreement constitutes a transfer of the copyright by the Author. As such, the Author retains all rights not expressly granted herein, including but not limited to, the right:
- 4.1.1** To reproduce and distribute the Submission, and to authorize others to reproduce and distribute the Submission, in any format;
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 - 4.1.3** To include the Submission, in whole or in part, in another work.
- 4.2** If the Author distributes the Submission on another website or in another publication (as described above), the Journal will be cited as the source of first publication.

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6. Termination

The Author agrees to the terms of this agreement for the Submission being considered for publication. If the Submission is declined, this agreement is terminated.

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Author Copyright Agreement (July 2018)

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Appendix B

US Library Preservation Policy Examples

Developed based on [SCAPE](#) Published Preservation Policies and on Madeline Sheldon's [2013 post in The Signal](#); expanded to include other known resources in 2018.

- Boston University Library: [Digital Preservation Policy](#)
- Cornell University Library: [Digital Preservation Policy Framework](#)
- Dartmouth College Library: [Digital Preservation Policy](#)
- Grand Valley State University Library: [Digital Preservation Policy](#)
- HathiTrust Digital Library: [Digital Preservation Policy](#)
- Indiana University Libraries: [Digital Preservation Policy](#)
- Middlebury College Library: [Digital Preservation Policy](#)
- North Carolina State Library: [North Carolina Digital Preservation Policy](#)
- Northwestern University Libraries: [Digital Preservation Policy](#)
- Portico: [Preservation Policies](#)
- Purdue University Research Repository: [Digital Preservation Policy](#), [Preservation Support Policy](#)
- University of Georgia: [Digital Preservation Policy](#)
- University of Illinois at Urbana-Champaign: [IDEALS Digital Preservation Policy](#)
- University of South Carolina Libraries: [Digital Preservation Policy Framework](#)
- University of Utah J. Willard Marriott Library: [Digital Preservation Policy](#)
- University of Washington Libraries: [Digital Preservation Policy](#)